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ABSTRACT

These training materials are part of a four-volume set dealing with the Vocational Rehabilitation Program Standards Evaluation System (VRPSES). (VRPSES is concerned with evaluation standards developed to measure the performance of the vocational rehabilitation program in achieving its mandate.) Covered in the volume are the following topics: an overview of the program standards system, computing and presenting the eight performance standards, administering the closure and follow-up surveys, the five procedural standards, and an introduction to the modified case review schedule. Each section contains presentation plans and overhead transparency masters. (MN)

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VOCATIONAL REHABILITATION PROGRAM STANDARDS EVALUATION SYSTEM

FINAL REPORT, VOLUME IV:

TRAINING MATERIALS

PRESENTATION PLANS AND OVERHEADS

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PREFACE

These materials have been prepared for trainers who are instructing others in the use of the RSA Vocational Rehabilitation Program Standards Evaluation System and in collection of information for performance and procedural standards. These verbal and visual materials are designed to use in conjunction with the Trainee Handbook. More detailed on the standards system can be found in two earlier Berkeley Planning Associates' reports, the Program Standards Analytic Paradigm (Berkeley, California: June 11, 1982) and the Program Standards Guidance Materials (Berkeley, Calfiornia: November 17, 1981).

June 8, 1982

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INTRODUCTION AND KEY TO SYMBOLS

The 1973 Rehabilitation Act contained, among its many other provisions, a requirement that evaluation standards be devised and implemented to measure the performance of the VR program in achieving its mandate. Over the last four years, Berkeley Planning Associates, under contract to the Rehabilitation Services Administration, has developed a revised system of evaluation standards. Two distinct sub-systems of performance measures were developed. One, the proposed Program Evaluation Standards, evaluates the federal-state VR programs. The other, the proposed Project Evaluation Standards, measures the effectiveness of individual projects, as well as aggregated program authorities funded by RSA discretionary funds. During the last three years, these systems were pretested in six model state evaluation units. In this pretest, BPA assumed the responsibilities which will ultimately be under the authority, and perhaps actual execution, of RSA, by providing training in the instruments and procedures for their administration, providing technical assistance to the states in conducting the pretest and analyzing their data, and providing the basic reporting of the states' performance.

The final recommended Program Standards consist of eight Performance Standards and associated data elements; and five Procedural Standards and associated data elements (see Table 1). The Performance Standards pertain to service outputs and outcomes (e.g., coverage, effectiveness, impact), while the Procedural Standards pertain to service method and process (e.g., case handling). If implemented, the Program Standards would require a revised reporting system for all state agencies. The federal administration would, in turn, generate information for measuring the achievement of overall program goals and for monitoring key processes which protect client interests. In addition, the system design includes a mechanism for analyzing and understanding the factors contributing to goal achievement, and for applying that understanding in support of federal and state program managers and policy makers in decisions regarding changes in program procedures and policy, state needs for technical assistance, and program needs for further investigation.

Table 1

VR Program Standards and Data Elements: Final Recommendations, 1981

PERFORMANCE STANDARDS AND DATA ELEMENTS

1. Coverage

VR shall serve the maximum proportion of the potentially eligible target population, subject to the level of federal program funding and priorities among clients.

(i) Clients served per 100,000 population
(ii) Percent severely disabled served

2. Cost-Effectiveness and Benefit-Cost Return

The VR program shall use resources in a cost-effective manner and show a positive return to society of investment in vocational rehabilitation of disabled clients.

(i) Expenditures per competitively employed closure
(ii) Expenditure per 26 closure
(iii) Ratio of total VR benefits to total VR costs (Benefit-cost ratio)
(iv) Total net benefit from VR services (Discounted net present value)

3. Rehabilitation Rate

VR shall maximize the number and proportion of clients accepted for services who are successfully rehabilitated, subject to the meeting of other standards.

(i) Percent 26 closures
(ii) Annual change in number of 26 closures

4. Economic Independence

Rehabilitated clients shall evidence economic independence.

(i) Percent 26 closures with weekly earnings at/above federal minimum wage
(ii) Comparison of earnings of competitively employed 26 closures to earnings of employees in state

5. Gainful Activity

There shall be maximum placement of rehabilitated clients into competitive employment. Noncompetitive closures shall represent an improvement in gainful activity for the client.

(i) Percent 26 closures competitively employed
(ii) Percent competitively employed 26 closures with hourly earnings at/above federal minimum wage
(iii) Percent noncompetitively employed 26 closures showing improvement in function and life status (implement after FAI/LSI pretest)

6. Client Change

Rehabilitated clients shall evidence vocational gains.

(i) Comparison of earnings before and after VR services
(ii) (In addition, changes in other statuses, and functioning ability, when such measures become available)

7. Retention

Rehabilitated clients shall retain the benefits of VR services.

(i) Percent 26 closures retaining earnings at follow-up
(ii) Comparison of 26 closures with public assistance as primary source of support at closure and at follow-up
(iii) Percent noncompetitively employed 26 closures retaining closure skills at follow-up (implement after FAI/LSI pretest)

8. Satisfaction

Clients shall be satisfied with the VR program, and rehabilitated clients shall appraise VR services as useful in achieving and maintaining their vocational objectives.

(i) Percent closed clients satisfied with overall VR experience
(ii) Percent closed clients satisfied with: counselor, physical restoration, job training services, placement services
(iii) Percent 26 closures judging services received as useful in obtaining their job/homemaker situation or in current performance

Table 1 (cont.)

PROCEDURAL STANDARDS

9. R-300 Validity

Information collected on clients by the R-300 and all data reporting systems used by RSA shall be valid, reliable, accurate, and complete.

10. Eligibility

Eligibility decisions shall be based on accurate and sufficient diagnostic information, and VR shall continually review and evaluate eligibility decisions to ensure that decisions are being made in accordance with laws and regulations.

11. Timeliness

VR shall ensure that eligibility decisions and client movement through the VR process occur in a timely manner appropriate to the needs and capabilities of the clients.

12. IWRP

VR shall provide an Individualized Written Rehabilitation Program for each applicable client and VR and the client shall be accountable to each other for complying with this agreement.

13. Goal Planning

Counselors shall make an effort to set realistic goals for clients. Comprehensive consideration must be given to all factors in developing appropriate vocational goals such that there is a maximum of correspondence between goals and outcomes: competitive goals should have competitive outcomes and noncompetitive goals should have noncompetitive outcomes.

This volume contains Presentation Plans for training sessions on five topics in the Program Standards Evaluation System:

A. An Overview of the Program Standards System discusses the standards and their data elements, summarizes the information requirements for performance and procedural standards, and illustrates the uses of the system. It is designed as a general introduction for all users of the system (both state and RSA staff).

B. Computing and Presenting the Eight Performance Standards is a step-by-step guide for state agency and RSA staff on how the statistical data elements are to be computed and displayed.

C. Administering the Closure and Follow-up Surveys gives detailed information on how to conduct client surveys to obtain the closure and follow-up measures called for in the standards.

D. The Five Procedural Standards discusses the standards for R-300 Validity, Eligibility, Timeliness, IWRP, and Goal Planning. It is designed for VR or RSA staff assigned to completing or using the procedural standards.

E. Introduction to the Modified Case Review Schedule (MCRS) is designed for state agency staff or RSA staff responsible for implementing the case review.

A should be presented to all training audiences. It standas alone, but should precede a session on B, C, D, or E. Session E should also be preceded by the introduction to the procedural standards, Session D.

Each of the Plans corresponds to a Trainee Handbook section, but contains the material in briefer form for verbal presentation. (Trainers should provide copies of the relevant sections of the Trainee Handbook for each person attending a training.) In addition to the verbal "script" that is provided in this Plan, there are Overhead designs keyed to each plan. The Overhead designs are included in this volume and directly follow the Plan to which they correspond. Here, the designs are reproduced on

plain white paper. The designs can be reproduced onto transparencies for projection, using a photocopy process or 35 mm slides. Or, they can be used as the basis for preparation of flip-charts.

The symbols in the Presentation Plans are included to alert the trainer to an important point, to indicate which Overhead design corresponds to the topic, and to suggest special emphasis techniques.

- • Indicates a major lecture point. Be sure to include all such points in a training session.
- 7 A number indicated which of the numbered overhead designs should be used at this point in the presentation. The numbers are in sequential order, starting with "1". As the "script" reaches a new number, the trainer should change the viewer, slide, or flip-chart.
- ** Indicates that several of the points on one overhead should be introduced one at a time. The trainer may choose to cover the slide and reveal each point as it is mentioned in the presentation, or to point to each of these items as they are mentioned, for special emphasis.
- ✓ Indicates the formulas which will be presented on the overhead projector. The presentor may either read the formula to the audience or simply refer the audience to the overhead picture.
- TS These are transitional statements, leading from one lecture point to the next.

These plans provide highly detailed scripts to help the trainer cover a large amount of material in a relatively short period of time. The trainer should practice the presentation, using the visual technique to be employed in the training, and note the actual delivery time. A column has been provided on the left-hand side of each page to record a trainer's own elapsed time for the sessions. Overall, each session should be completed in approximately 45 minutes to one hour, with the exception of the overview, which will require approximately one and one-half hours.

Vocational Rehabilitation Program
Standards Evaluation System

Presentation Plans and Overheads–A:

An Overview of the
Program Standards System

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Time From Start	Overhead Projection #	Points for Presentation
	1	AN OVERVIEW OF THE PROGRAM STANDARDS SYSTEM
		• Does everyone have a Trainee Handbook which looks like this?
		• All the information to be discussed today is contained in this packet
		• The entire packet may be used as a reference guide both during and after today's presentation.
		TS - Today's presentation has three objectives:
	2	OBJECTIVES OF THE PRESENTATION
		• To introduce you to each of the Program Standards and corresponding data elements; and
		• To briefly explain how using the system benefits program managers and clients.
		BACKGROUND
		• The Rehabilitation Act of 1973 included a provision which required that the government establish and publish a set of regulations and general standards for the evaluation of the programs and projects effectiveness in achieving the Act's objectives.
		• Since the passage of the Act, RSA and a number of other key actors in the rehabilitation field have worked to develop a system which would respond to this mandate. Our presentation today begins with the process BPA undertook in 1976 to revise the standards, a process which has led to the current 13 Program Standards.
		TS - Let us begin now by looking at the development of the Program Standards System.

Time From Start	Overhead Projection #	Points for Presentation
		DEVELOPMENT OF THE PROGRAM STANDARDS
		• One of the key criticisms of the original standards had been their apparent lack of an underlying conceptual framework. After a careful review of the various alternative methods for developing standards, an approach which emphasized program <u>outcome</u> was recommended. This decision was based upon BPA's belief that if the standards were to guide performance and measure achievements, the standards should focus on measuring the achievement of all program goals.
		o BPA and RSA discussed whether various program measures should be regarded as performance standards, procedural standards, or supportive evaluation elements.
	3	• The specific role for each of these categories were:
	**	-- <u>Performance Standards</u> would measure the achievement of desired outcomes or the mission of the program.
	**	-- <u>Procedural Standards</u> would address the protection of client interests by insuring key processes were effectively implemented.
	**	-- <u>Supportive Evaluation Elements</u> are aspects of the VR process useful in the analysis of performance to explain differences and to help to identify program actions to enhance.
	4 4a	• This process and further refinement of the standards resulted in a revised list of standards which included a total of eight <u>performance</u> standards and four <u>procedural</u> standards.
		• These standards then pretested in a sample of six states in order to determine if they adequately addressed the VR system's goals and if, when implemented, meet the needs of program managers, counselors, and clients.

Time From Start	Overhead Projection #	Points for Presentation
	5	PURPOSE OF THE PROGRAM STANDARDS
		• Three principal purposes have underlined all of the developmental work BPA has conducted on the Standards System. In conducting the pretest and in incorporating the comments made by the various states and other reviewers into the revised standards system, the three concerns which governed our efforts were that the resulting standards system be sufficient;
	**	-- to guide the behavior of state VR agencies towards greater achievement;
	**	-- to make available information on the state VR agencies' achievement with respect to the goals and functions of the VR system, as measured by the standards data elements; and
	**	-- to identify possible problems and corrective actions, whenever state VR agencies are unable to reach their objectives for achievement.
	6	• These three purposes reflect the fact that the focus of the new standards system is state agency management improvement and evaluation capacity.
	**	• The federal role is proposed as one of necessary data provision, the generation and making available of comparison data as appropriate, and the provision of technical assistance to the state agency for interpreting standards data and identifying how to improve program performance.
	**	• The leadership role in improving state performance is assigned to the individual state agency under the revised standards system.
		TS - Having outlined the focus of the system, let us now turn our attention to the specific standards.

Time From Start	Overhead Projection #	Points for Presentation

THE REVISED PROGRAM STANDARDS AND DATA ELEMENTS

- BPA has recommended a total of eight Performance Standards and five Procedural Standards to RSA. These standards and corresponding data elements closely parallel the set of standards recommended prior to the pretest. The most significant change was the addition of a fifth Procedural Standard to capture the need for states to be sensitive to realistic goal-setting for clients and for adherence to the policy of seeking competitive employment outcomes when feasible. Other changes consisted of minor word changes within various standards and the refinement of certain data elements.

TS - The following discussion briefly reviews each of the 13 Program Standards. Those in the audience who wish more detailed information on the rationale behind each standard and its corresponding data elements should refer to the written materials included in your presentation packet.

PERFORMANCE STANDARDS

7 STANDARD 1: VOCATIONAL REHABILITATION SHALL SERVE THE POTENTIALLY ELIGIBLE TARGET POPULATION, SUBJECT TO THE LEVEL OF FEDERAL PROGRAM FUNDING AND PRIORITIES AMONG CLIENTS.

This standard addresses the extent to which the VR program is serving the eligible target population. It is of paramount importance to ensure accessibility of services to <u>all</u> eligible disabled.

TS - Standard 1 has two data elements:

✓ 1. $\frac{\text{Annual number of clients (RSA-113)}}{\text{State population (in 100,000's) (Census data)}}$

✓ 2. $\frac{\text{Annual number of severely disabled clients served (RSA-113)}}{\text{Annual number of clients served (RSA-113)}}$

Time From Start	Overhead Projection #	Points for Presentation
	8	STANDARD 2: THE VOCATIONAL REHABILITATION PROGRAM SHALL USE RESOURCES IN A COST-EFFECTIVE MANNER AND SHOW A POSITIVE RETURN TO SOCIETY OF INVESTMENT IN VOCATIONAL REHABILITATION OF DISABLED CLIENTS.
		This standard relates to the program's cost-effectivess goal (i.e., how successfully did it achieve desired objectives with the financial resources available) and the cost-benefit concerns (i.e., what was the return on the investment). Specifically, it addresses the question of whether we are getting more out of the program than we are putting into it.
		TS - Here, we have four data elements:
	✓	1. $\frac{\text{Total agency expenditures}\ (\text{RSA-2})}{\text{Number of competitively employed 26 closures}\ (\text{RSA-300})}$
	✓	2. $\frac{\text{Total agency expenditures}\ (\text{RSA-2})}{\text{Number of 26 closures}\ (\text{RSA-300})}$
	✓	3. $\frac{\text{(Benefits)}}{\text{(Costs)}}$
	✓	4. (Benefits-Costs)
		RSA-300, RSA-2, RSA-113, Follow-up Survey
	9	STANDARD 3: VR SHALL MAXIMIZE THE NUMBER AND PROPORTION OF CLIENTS ACCEPTED FOR SERVICES WHO ARE SUCCESSFULLY REHABILITATED, SUBJECT TO THE MEETING OF OTHER STANDARDS.
		Traditionally, success in VR has been measured by the number of "26 closures," or successful rehabilitations obtained. Because a central goal of VR is to rehabilitate clients, it is essential that the standards system include a way of presenting how many individuals were successfully served and the extent to which this number increases over time.
		TS - This standard has two data elements:
	✓	1. $\frac{\text{Number of 26 closures}\ (\text{RSA-113})}{\text{Number of 26 + 28 + 30 closures}\ (\text{RSA-113})}$
	✓	2. (Number of 26 closures in current year) - (Number of 26 closures in previous year) (RSA-113)

Time From Start	Overhead Projection #	Points for Presentation
	10	STANDARD 4: REHABILITATED CLIENTS SHALL EVIDENCE ECONOMIC INDEPENDENCE.
		This standard concerns the rehabilitated client's ability to become economically self-sufficient.
		TS - Here again we have two data elements:
	✓	1. Number of 26 closures with weekly earnings at or above federal minimum wage (RSA-300, U.S. Census Data) / Number of 26 closures (RSA-300)
	✓	2. Mean weekly earnings of competitively employed 26's (RSA-300) / Mean weekly earnings of other employees in the state (U.S. Census Data)
	11	STANDARD 5: THERE SHALL BE MAXIMUM PLACEMENT OF REHABILITATED CLIENTS INTO COMPETITIVE EMPLOYMENT. NON-COMPETITIVE CLOSURES SHALL REPRESENT AN IMPROVEMENT IN GAINFUL ACTIVITY FOR THE CLIENT.
		This standard concerns the impact of VR agencies on the clients, irrespective of whether this impact results in competitive employment or an improvement in function and life status for the client.s
		TS - Standard 5 has three data elements:
	✓	1. Number of competitively employed 26's (RSA-300) / Number of all 26 closures (RSA-300)
	✓	2. Number of competitively employed 26 closures with hourly earnings at or above federal minimum wage (RSA-300, U.S. Census Data) / Number of competitively employed 26's (RSA-300)
	✓	3. Number of non-competitive 26's with improvement on LSI-FAI measure from plan to closure (RSA-300) / Number of non-competitive 26's (RSA-300)

Time From Start	Overhead Projection #	Points for Presentation
	12	STANDARD 6: REHABILITATED CLIENTS SHALL EVIDENCE VOCATIONAL GAINS

It is axiomatic that rehabilitated clients should evidence some sort of vocational gains either in monetary or non-monetary terms at the point VR services terminate. This standard assures that attention will be paid by the VR field to documenting and seeking changes in a client's earning status, functional ability, or life status. It supplements the concern for measuring post-service outcomes (as in Standards 3-5) by using the client's preservice circumstances as a baseline for comparison.

TS - Standard 6 has two data elements:

✓ 1. $$\frac{\text{(The sum of closure earnings for all 26 closures) minus (The sum of referral earnings for all 26 closures)}\ \text{(RSA-300)}}{\text{Number of 26 closures}\ \text{(RSA-300)}}$$

✓ 2. In addition to vocational change (as measured by the first data element) the VR program also often acts as a change-agent in terms of non-vocational aspects of a client's life. This reality has resulted in the inclusion of a second data element for this standard. As with the data elements associated with non-competitive employment closures, the methodology for assessing non-vocational change requires further development before a specific computation formula can be developed.

	13	STANDARD 7: REHABILITATED CLIENTS SHALL RETAIN THE BENEFITS OF VR SERVICES.

Vocational rehabilitation programs, like all service programs, ideally strive to have the gains realized by their clients through program participation retained over time. Job losses shortly following successful closure can identify serious short-comings in a program's service strategy and may point to an incongruence between program goals and individual

Time From Start	Overhead Projection #	Points for Presentation

client goals. Are clients being "rehabilitated" only on a temporary basis, or are the gains achieved during the service period being retained over time? This question has a great degree of importance to the overall VR mission and thus a standard in this area is highly appropriate. Aside from employment measures of benefit retention, additional attention is given to expanding the data elements for this standard to include non-employment measures.

TS - Standard 7 has three data elements:

✓ 1. Number of 26's with earnings at closure who retained or increased earnings at follow-up (RSA-300) / Number of 26 closures with earnings at closure, surveyed at follow-up (Follow-up Survey)

✓ 2. Percent of 26 closures with public assistance as the primary source of support at follow-up (Follow-up Survey) / Percent of 26 closures with public assistance as the primary source of support at closure (RSA-300)

✓ 3. Number of non-competitive 26 closures retaining FAI/LSI closure skills (RSA-300) / Number of non-competitive 26 closures surveyed at follow-up (Follow-up Survey)

14 STANDARD 8: CLIENTS SHALL BE SATISFIED WITH THE VOCATIONAL REHABILITATION PROGRAM, AND REHABILITATED CLIENTS SHALL APPRAISE VOCATIONAL REHABILITATION SERVICES AS USEFUL IN ACHIEVING AND MAINTAINING THEIR VOCATIONAL OBJECTIVES.

As an indicator of consumer appraisal of services, the standard on client satisfaction with vocational rehabilitation services has considerable merit. Since client satisfaction polls usually offer a high degree of support for the program, this standard is viewed as being beneficial in lobbying for expanded

Time From Start	Overhead Projection #	Points for Presentation

financial support at both the state and federal level. Complementing the political utility of satisfaction measure is the inclusion of a client utility assessment measure for this standard. The intent of this clause is to ensure that successfully closed clients assess the utility of VR services positively in terms of actually having contributed to their getting a job and functioning in it. As a substantive rationale for the satisfaction standard, utility assessment offers a valuable entree for probing areas needing program improvement and for ensuring consumer involvement in improving the responsiveness of VR services to client needs.

TS - Again, there are three data elements involved:

✓ 1. $\frac{\text{Number of closed clients surveyed who are satisfied with their overall VR experience}}{\text{Number of closed clients surveyed}}$ (Closure Survey)

✓ 2.a $\frac{\text{Number of closed clients satisfied with their counselors}}{\text{Number of closed clients surveyed}}$ (Closure Survey)

✓ 2.b $\frac{\text{Number of closed clients satisfied with physical restoration services}}{\text{Number of closed clients surveyed}}$ (Closure Survey)

✓ 2.c $\frac{\text{Number of closed clients satisfied with job training services}}{\text{Number of closed clients surveyed}}$ (Closure Survey)

15 ✓ 2.d $\frac{\text{Number of closed clients satisfied with job placement services}}{\text{Number of closed clients surveyed}}$ (Closure Survey)

3. $\frac{\text{Number of 26 closures judging the services they received to have been useful in obtaining their job/homemaker situation or in current performance}}{\text{Number of 26 closures surveyed}}$ (Closure Survey)

Time From Start	Overhead Projection #	Points for Presentation

PROCEDURAL STANDARDS

16

STANDARD 9: R-300 VALIDITY

INFORMATION COLLECTED ON CLIENTS BY THE R-300 AND ALL DATA REPORTING SYSTEMS USED BY RSA SHALL BE VALID, RELIABLE, ACCURATE, AND COMPLETE.

This standard would ensure that state agencies maintain acceptable levels of accuracy, validity, and reliability in the reporting of the R-300, as well as other, data. By using a case review process, an accuracy check is provided between the case folder information, the R-300 itself, and any computer output listings of R-300 items selected for review. These items include a range of demographic data, service data, outcome data, and cost data.

TS - Now, let us move along to the next Procedural Standard.

17

STANDARD 10: ELIGIBILITY

ELIGIBILITY DECISIONS SHALL BE BASED ON ACCURATE AND SUFFICIENT DIAGNOSTIC INFORMATION, AND VR SHALL CONTINUALLY REVIEW AND EVALUATE ELIGIBILITY DECISIONS TO ENSURE THAT DECISIONS ARE BEING MADE IN ACCORDANCE WITH LAWS AND REGULATIONS.

This standard concerns the determination of those applicants who will receive services. Such eligibility decisions must:

- comply with the legislative mandate, and
- ensure cost-effectiveness.

In short, this standard focuses on ensuring that clients who are not eligible for VR services are not accepted, while those who are eligible are provided with services. The case review system will be used to monitor decisions made in compliance with this standard.

Time From Start	Overhead Projection #	Points for Presentation
	18	STANDARD 11: TIMELINESS VR SHALL ENSURE THAT ELIGIBILITY DECISIONS AND CLIENT MOVEMENT THROUGH THE VR PROCESS OCCUR IN A TIMELY MANNER APPROPRIATE TO THE NEEDS AND CAPABILITIES OF THE CLIENTS.

This standard seeks to avoid delays in the VR process which may hinder or impede the successful rehabilitation of the client. It requires that each state have a monitoring system to 'flag' those cases remaining in statuses for an untimely period, and provides a process for evaluating each such undue delay. The reasons for this system are twofold:

- First, a client's attitude toward the usefulness of participating in VR are formed by his or her perception of the VR treatment, a perception often shaped by the speed with which his or her case is handled; and

- Second, a correlation has been found between VR timeliness and client outcomes.

The advantages of this system are that:

- It allows for a flexible interpretation of whether a case was handled in a timely manner by avoiding rigid criteria regarding the most appropriate time frame for various case activities; and

- It ensures greater reliability than other subjective measurement systems by requiring the reviewer first to determine if a delay did occur and then to determine the reason for a given delay (i.e., agency failure, client motivation, other agency actions, etc.).

Time From Start	Overhead Projection #	Points for Presentation
	19	STANDARD 12: IWRP VR SHALL PROVIDE AN INDIVIDUALIZED WRITTEN REHABILITATION PROGRAM FOR EACH APPLICABLE CLIENT, AND VR AND THE CLIENT SHALL BE ACCOUNTABLE TO EACH OTHER FOR COMPLYING WITH THIS AGREEMENT. Several aspects of the Individualized Written Rehabilitation Program are addressed by this standard. These include: • that an IWRP be fully developed for each eligible VR client; • that the plan ensure the protection of clients' rights; • that the client and counselor work together in developing all goals and service plans; • that the client and counselor share responsibility for follow-through and the annual review of the progress and appropriateness of the agreement; and • that the handling of any plan revisions are timely and appropriate. This standard will ensure compliance with the legislative intent of the IWRP, which in turn has been positively associated with successful VR process outcomes.
	20	STANDARD 13: GOAL PLANNING COUNSELORS SHALL MAKE AN EFFORT TO SET REALISTIC GOALS FOR CLIENTS. This standard concerns the setting of "realistic" goals for VR clients, consistent with their capabilities and abilities, whether this means setting competitive employment goals or sheltered or noncompetitive employment goals. It addresses the issue of noncompetitive closure categories being instigated simply to salvage "successes" for clients unable to meet their planned competitive goals. By allowing flexibility in goal planning, the standard neither hinders clients from obtaining

Time From Start	Overhead Projection #	Points for Presentation

competitive closures, nor classifies them as "unsuccessful" should they have a competitive goal but a noncompetitive outcome.

As the four data elements for this particular standard indicate, the standard's objective is to investigate how counselors can be more effective in the task of "fitting" clients' potentials to feasible outcomes. In this way, the standard is used appropriately to facilitate effective goal planning. All four data elements are included in the R-300 system.

TS - Having reviewed the 13 Program Standards and their corresponding data elements, we are now ready to discuss how the system operates and what types of benefits the system can generate for program managers.

STRUCTURE OF THE PROGRAM STANDARDS SYSTEM

21 • The Program Standards system has several components, as indicated in the illustration:

** Standards and Data Elements;

** Process for setting performance objectives;

** Reporting System; and

** Data-based Decision-Support System.

As this figure indicates, all of these components are oriented to providing feedback to and improving the management of the VR program.

22 • Viewed another way, these components work together in a circular fashion to ensure that the information generated through the careful application of the standards is retained within the vocational rehabilitation system for the benefit of future clients.

As illustrated above, the cycle proceeds as follows:

** Identification of specific objectives for the system;

** Development of reliable and valid measures for addressing these objectives;

Time From Start	Overhead Projection #		Points for Presentation
		**	Setting of performance goals and operating procedures;
		**	Operation and management of the system;
		**	Implementation of data collection efforts;
		**	Implementation of data reporting;
		**	Performance Assessment and policy analysis; and
		**	Implementation of the findings which emerge during the assessment and analysis period.
			TS - With this overview in mind, we now proceed to a more detailed discussion of how the revised Program Standards system adheres to this model.
			IDENTIFYING OBJECTIVES
	23		• As previously discussed, the objectives of the standards can be summarized into four concepts:
		**	Coverage: Is the agency adquately addressing the scope and type of needs of its eligible target population?
		**	Efficiency: Is the agency sufficiently productive given the resources available to it?
		**	Impact: Does the agency help to improve the quality of life of the individual clients it serves? Does the agency return more benefits to society than the societal costs it incurs?
		**	Compliance: Are eligibility decisions made in accordance with the laws and regulations? Are all of the regulations being adequately addressed?

Time From Start	Overhead Projection #	Points for Presentation
	24	• The trade-offs between these objectives are reflected in the range of the proposed standards and their various data elements. In judging a state's performance, it is important to bear in mind that these objectives have no absolute value and that each state must weigh a host of political and service considerations when structuring its program. Some states will place greater weight on serving larger numbers of clients while other states will be more concerned with the costs of their program. Still other states may be willing to incur greater costs providing that their clients are indeed rehabilitated at the time services are terminated.
		TS - While these trade-offs may result in various objectives being weighted more heavily than others at a given point in time, such trade-offs do not alter the fact that these four objectives comprise the basic foundation on which the 13 Program Standards were built.
		IDENTIFYING STANDARDS AND DATA ELEMENTS
		• The 13 Program Standards and their corresponding data elements have already been presented and need not be repeated at this point.
		• One important point to make at this juncture, however, is the fact that each of the 13 Program Standards do relate to one or more of the four objectives outlined above.
	25	• As illustrated in this table, all of the system's objectives have been addressed by at least two of the standards.
		TS - Once the necessary measures have been developed the next step in the process is the determination of appropriate performance goals and operating procedures.
		SETTING PERFORMANCE GOALS AND OPERATING PROCEDURES
	26	• A major shift in the proposed standards system is for state agencies to set their own objectives, in terms of levels of expected performance by which the state program is to be monitored and held accountable.

Time From Start	Overhead Projection #	Points for Presentation

- This process is in contrast to the current system which uses central tendency statistics to judge whether a state performed adequately in the past year, with adequancy being determined by the average performance level for all states.

- The central tendency approach, while descriptive, does not examine the level of typical performance with what is reasonable or desirable but instead automatically generates failures and success among state programs.

- Once the average performance level for all states is determined, certain states, by definition of the process, are found to be below the average and certain states are found to be above the average.

- This method does not account for the fact that all states may have been doing quite well on a given measure or that all states may have been doing quite poorly on another measure.

- The new system for setting performance objectives places responsibility within each state to set its own objectives for the level of performance to be achieved in an upcoming fiscal year, rather than continuing with the post-hoc system based upon national norms.

- A particular advantage of this reliance on state agencies to set performance level objectives is that it permits the standards system to be used for monitoring and assessing the ongoing program. State agencies can use their in-house data systems to monitor individual data items on a monthly or quarterly basis, and to see if the program is on target in terms of moving toward annual goals or sustaining acceptable rates of quality closures.

27

- When setting performance objectives, state agencies might be anticipated to look at their past performance, at the levels of performance being achieved by other state programs that agency staff view as comparable, at the performance nationwide, and at pending changes in state economic conditions, politics or client and service mix, and other unique state factors which might affect performance.

TS - Once the appropriate performance goals have been set, the system is ready to be implemented and data collection can begin.

Time From Start	Overhead Projection #	Points for Presentation
		IMPLEMENT THE SYSTEM AND BEGIN DATA COLLECTION EFFORTS
		• In order to acquire the data necessary to determine the extent to which each state is meeting its performance objectives, uniform data collection procedures must be developed and implemented. As previously discussed, one of the criteria used in determining the data elements for each of the 13 Program Standards was the availability of the data at both the state and federal levels.
		• Building upon the existing R-300 system, BPA developed a number of additional data collection instruments to complement the range of information currently available to RSA through the R-300.
		• Any state may use the evaluation standards system. The calculation of national norms will require a national data system.
	28	• Seven sources for the PERFORMANCE STANDARDS include:
		** THREE CURRENT RSA REPORTS
		• The RSA-300 Case Service Report (providing data on individual client outcomes);
		• The RSA-2 Annual Report for Vocational Rehabilitation (providing data on aggregate agency expenditures); and
		• The RSA-113 Quarterly Cumulative Caseload/Expenditure Report (providing data on the agency's caseload flow).
		** TWO BPA DEVELOPED MAIL SURVEYS
		• The Client Closure Survey (providing information on client satisfaction with VR services); and
		• The Client Follow-up Survey (providing information on client retention of benefits).
		** TWO EXOGENOUS DATA SOURCES
		• The annual U.S. Census publication Statistical Abstract of the U.S. (to provide data on the current federal minimum wage and on state wage norms); and

Time From Start	Overhead Projection #	Points for Presentation
		• The U.S. Bureau of the Census Current Population Reports, Series P-25 (to provide state population estimates).
		• RSA is currently in the process of revising the R-300 and R-113 in response to OMB requirements. In addition, the R-2 Annual Report is being discontinued. Calculation of the data elements will depend on data availability at the national and state levels.
		TS - Having reviewed the data collection procedures necessary for documenting all of the data elements required under each standard, we can now turn our attention to the procedures through which RSA will obtain the data from the states.
	29	• One primary data source exists for the PROCEDURAL STANDARDS.
		** This data source, the Modified Case Review Schedule (MCRS) builds upon the Case Review Schedule developed by the San Diego State University RCEP IX and is a document routinely used by regional RSA officers whenever they conduct case reviews.
		• In order to ensure that the Case Review process would be adequate to address the data needs for the majority of the Procedural Standards, BPA developed two additional instruments for inclusion in the MCRS. These two instruments are:
		** Determining the Validity of the R-300 Data; and
		** Timeliness Assessment Instrument.
		• Because all of these data collection efforts are not routinely completed and require special case review procedures, it is recommended that RSA conduct this data collection effort every third fiscal year.
		• However, one of the Procedural Standards, Standard 13, which relates to the correspondence between the IWRP occupational goals and final outcomes, uses data only from the R-300 and consequently can be reported annually.

Time From Start	Projection #		Points for Presentation
			DATA REPORTING
	30		• The standards reporting system brings together the various sources of standards input data so that a particular agency's attainment for a specific time period can be compared to its objectives for the period. In addition, the reporting system will provide the program managers with the capability to flag and investigate problematic attainment. To do these two things, the reporting system has been designed:
		**	to keep track of past performance as well as current expectations;
		**	to present the findings in an easy to use, easy to understand way, without unwieldy reports, emphasizing graphical presentations as well as plain numbers; and
		**	to make sure that the reporting of results occurs in a timely fashion, so that future performance can be influenced.
			• The standards system is compatible with the kinds of data compilations routinely generated even now in many state agencies' internal information systems, and can be adpated by individual state agencies for their use, quite independently of the development of a national MIS.
			• Several reports can be routinely produced by the system.
	31	**	• First, this type of report shall show the achievement on each of the standards for a given agency. In addition, it will also show the state's goal for the year, its last year's performance and the previous year's national norm.
	32	**	• Second, reports will be developed which will display all agencies' performance on each particular element for both the present year as well as the four preceeding years.
	33	**	• Finally, reports will be developed which will summarize national performance levels for all agencies, and for general, combined, and blind agencies.

Time From Start	Overhead Projection #	Points for Presentation
		• These three types of reports will be generated routinely for all of the agencies and all of the data elements. In addition, RSA and the agencies will have the capability to use the MIS to generate special purpose reports and analyses.
		• For example, the basic reports could be run separately for special populations and the results may take the form of statistical reports or graphic displays.
		TS We now turn our attention to the performance assessment and policy analysis phase of the system.
		PERFORMANCE ASSESSMENT AND POLICY ANALYSIS
		• In many respects, this component of the system is the heart of the entire process. Without the effective analysis of the data and the ability of program managers to pin-point the source of poor or outstanding performance levels within their agencies, the system offers VR little in terms of management assistance.
		• Consequently, the standards system offers a mechanism for investigating the causes for problematic attainment and for developing corrective actions as part of the decision-support system. This system is described in detail in a special report developed by BPA, but can be illustrated briefly here.
		• Basically, the decision-support system is designed to provide VR program managers with information which is:
	34	** relevant to the issues (i.e., problems) under consideration;
		** quickly and easily interpretable;
		** timely; and
		** suggestive either of an immediate policy response to the problem, or of further investigation needed before an appropriate response can be formulated.

Time From Start	Overhead Projection #	Points for Presentation
	35	• The basic flow of the decision-support system in shown in the overhead.
		• Problematic attainment, where an agency is unable to meet its agreed upon objectives for a particular standard or data element, is the signal for the process to start.
		• Let's run through the process quickly to familiarize you with the basic decision points:
		** First, the program managers within RSA or the states determine that a given agency has not met its agreed-upon objectives.
		** Second, the program managers investigate the situation to determine if they can identify the necessary corrective actions.
		** Third, if they cannot identify the problem, the issue undergoes more rigorous evaluation research.
		** Fourth, once the necessary corrective action has been identified, the action is implemented and the agency begins monitoring the results.
		** Fifth, if the results indicate that the problem has been eleviated, the process stops. However, if the problem persists, the cycle begins again.
		• As noted, the investigation of problematic attainment has been broken into two parts:
		basic <u>problem identification</u>, carried out by program managers within RSA and within the state VR agencies, using the standards reporting system plus the managers' knowledge of program operations; and
		<u>evaluation research</u>, carried out by evaluation researchers within RSA or within the state VR agencies, or by outside consultants, using the proposed MIS and other data bases, as well as requiring primary data collection.

Time From Start	Overhead Projection #	Points for Presentation
		• These two parts differ in who carries them out and in the time frame in which the basic problem identification occurs. If evaluation research is required, then most likely corrective actions will not be possible in time for the next cycle of the process.
		• This lag is the reason that the investigation of problematic attainment is broken into two parts, so that timely corrective actions can be taken, if at all possible.
	36	• In implementing this process, a program manager should keep several items in mind:
		** 1. The first levels of the process are not complex; ask questions in the most obvious and direct manner.
		** 2. Pursue all alternative sources of difficulty until you are convinced that the solution to your problem does not lie in a particular program area.
		** 3. Recognize the fact that corrective measures may emerge at any point in the process -- often first level indicators will highlight what corrective actions need to be implemented.
		** 4. Be comfortable pushing the decision tree as far as possible even if the process results in the development of more formal evaluation research. Useful program management techniques or guidelines may emerge from simply identifying what types of new or expanded information is needed to actually resolve the difficulty.
		TS - This discussion has been designed to provide you with an overview of this process. Before implementing this model, you may want to review the more detailed description included in your informational packet. At this time, we would like to move on to the final component of the standards system.

Time From Start	Overhead Projection #	Points for Presentation
	37	• The process of problem identification consists of tracing the possible reasons for poor performance in a given area.
		** This process begins by organizing a given standard or data element into various components.
		• For example, if the agency notes that it has poor performance on the second data element for Standard 2, "Expenditures per 26 closures," the difficulty may rest with (a) the agency having too few 26 closures; (b) the agency serving clients too slowly and not terminating a sufficient number of clients on a regular basis; (c) the agency has recently developed a bottleneck in its intake process and too few clients are gaining access to the system in a timely manner; or (d) some combination of the above.
		** Having identified several distinct alternative sources for a given problem, the process may then call for the program manager to look to other data elements within the system for "clues" as to which of the alternative paths may indeed lead to the actual cause of the agency's poor performance.
		• For example, using our case of poor performance on an agency's "expenditures per 26 closure," an examination of data element 3(i) may indeed reveal that the agency is achieving too low a proportion of 26 closures. This "second level" indicator would be a signal to the program manager that he or she will want to pursue the reasons for the low percentage by exploring other data elements or conducting more formal evaluation research to determine why so few clients are 26 closures.
		** Alternatively, the "second level" indicators might discover that certain issues are not the problem.
		• For example, in the above case, data element 3(i) may indicate that the agency is indeed achieving a satisfactory percentage of 26 closures, a finding which might suggest that the system is either serving clients too slowly

Time From Start	Overhead Projection #	Points for Presentation
		or not serving enough clients. Each of these possibilities can also be explored at the "second level."
		• "Third level" indicators may be needed to explore the selected alternative further, before deciding on a specific course of action. The information necessary to address these issues may be found in other data elements within the standards system or may suggest the need for more formal evaluation research. The detailed table in the Trainee Handbook shows questions for one data element.
		• While the implementation of this process may appear complex, the system's logic is straightforward and involves simple program comparisons which allow VR managers to progress through a decision tree, diagnosing problems and using program information to reach conclusions about the causes of various problems.
	38	PROGRAM RESPONSES
		• The key to effectively using the standards system as a management tool will rest with the ability of RSA and the states to incorporate new procedures or policies which may emerge from the careful analysis and review of the standards' data.
**		• The primary actors with responsibility for making changes in the standards system are the same as in the VR system at large: Congress, OMB, Department of Education, RSA, Regional Offices of Rehabilitation Services, state governments, and state VR agencies.
**		• These changes may involve policy decisions; federal and state congressional legislation and regulations; resource commitment adjustments; data system revisions; technical assistance to the states; research agendas; university counselor training programs; and coordination with other programs.

Time From Start	Overhead Projection #	Points for Presentation
		TS - This concludes our formal description of the Program Standards system. Before concluding today's presentation, however, I would like to make some brief comments regarding the longer long-term evaluation of the standards system and the reasons for which the system may need to change over time.
	39	EVALUATING THE STANDARDS SYSTEM OVER TIME
		• One of the problems with the current standards system is that no evaluation of the use of the standards was included. In contrast, BPA has established three criteria for evaluating the revised standards system.
**		• The most important evaluative criterion is whether the attainment of the state VR agencies is improving, in the areas measured by the standards data elements. While it may be very difficult to provie that the cause of the improvement was the implementation of the standards, at least the attainment of the agencies after the implementation can be compared to their attainment before the implementation.
**		• The second evaluation criterion is whether the state VR agencies are meeting their objectives. If they never meet their objectives, then the objective setting process is not working properly. If they always meet their objectives, then the process is also not working properly. Identifying for which state VR agencies, for which data elements, or for both in combination, which objectives are not being met, will indicate where attention needs to be paid in the standards system.
**		• The third evaluative criterion is whether the program managers find the system useful. Program managers should be regularly canvassed for their recommendations.

Time From Start	Overhead Projection #	Points for Presentation
		CHANGING THE SYSTEM
	40	• The key word for the standards system should be FLEXIBILITY. A wide range of factors both within and outside the standards system may demand that changes be made in the number, the nature or measurement of the standards.
		• External reasons for change may include:
		** the goals and functions of the VR program may change, necessitating changes in the standards;
		** the MIS or other reporting within or without VR may change, changing what will be available for the reporting system;
		** the actors and types of corrective actions possibly may change;
		** actions taken by state VR agencies might push the VR program in undesirable directions, as state program managers try to respond to the standards system, thus requiring additional standards or changed expectations; and
		** the achievement of the state VR agencies may not be improving over time.
	41	• Similarly, internal reasons for change may include:
		** some data elements may be found to have lower data quality than is acceptable, and thus require new procedures or even replacement;
		** some of the data collection activities may require change, because of logistical problems;
		** difficulties in the reporting system and in the reporting cucle may arise; and
		** objectives being set may not be correct.
		• As such, RSA must monitor the operation of the standards system over time. In the beginning, the system should especially be closely monitored, so that problems can be discovered early. And, RSA must be ready to change the standards system as the need arises.

Time From Start	Overhead Projection #	Points for Presentation
		CONCLUDING COMMENTS
		• This concludes the formal presentation. As I stated in the beginning, all of the information presented today is included in the Trainee Handbook, Section A.

A(1)

Vocational Rehabilitation Program
Standards Evaluation System

Trainee Handbook-A:

An Overview of the
Program Standards System

bpa
3200 adeline street berkeley, california 94703

OBJECTIVES OF THE PRESENTATION

- Introduce the Performance Standards and Data Elements
- Explain system uses and benefits

A(3)

ROLES FOR POTENTIAL STANDARDS

Performance Standards = Outcomes

Procedural Standards = Key Processes

Supportive Evaluation Elements = Explanatory Variables

1978 RECOMMENDED PROGRAM STANDARDS

A(4)

Performance Standards

STANDARD 1: VR shall serve the maximum proportion of the potentially eligible target population, subject to the level of federal program funding and priorities among clients.

STANDARD 2: The VR program shall use resources in a cost-effective manner and show a positive return to society of investment in vocational rehabilitation of disabled clients.

STANDARD 3: VR shall maximize the number and proportion of clients accepted for service who are successfully rehabilitated, subject to the meeting of other standards.

STANDARD 4: Rehabilitated clients shall evidence increased economic independence.

STANDARD 5: There shall be maximum placement of rehabilitated clients into competitive employment. Noncompetitive closures shall be in accordance with the IWRP goal and shall represent an improvement in gainful activity for the client.

STANDARD 6: Vocational gains shall be attributable to VR services.

STANDARD 7: Rehabilitated clients shall retain the benefits of VR services.

STANDARD 8: Clients shall be satisifed with the VR program, and rehabilitated clients shall appraise VR services as useful in achieving and maintaining their vocational objectives.

1978 RECOMMENDED PROGRAM STANDARDS

Procedural Standards

STANDARD 9: Information collected on clients by the R-300 and all data reporting systems used by RSA shall be valid, reliable, accurate, and complete.

STANDARD 10: Eligibility decisions shall be based on accurate and sufficient diagnostic information, and VR shall continually review and evaluate eligibility decisions to ensure that decisions are being made in accordance with laws and regulations.

STANDARD 11: VR shall ensure that eligibility decisions and client movement through the VR process occur in a timely manner appropriate to the needs and capabilities of the clients.

STANDARD 12: VR shall provide an Individualized Written Rehabilitation Program for each applicable client, and VR and the client shall be accountable to each other for complying with this agreement.

A(5)

PURPOSES OF THE STANDARDS SYSTEM

- To guide the behavior of state VR agencies toward greater achievement.

- To make available information on the state VR agencies' achievement with respect to the goals and functions of the VR system, as measured by the standards data elements.

- To identify possible problems and corrective actions, whenever state VR agencies are unable to reach their objectives for achievement.

A⑥

FEDERAL AND STATE ROLES UNDER STANDARDS SYSTEM

Federal Role

- Data feedback provision
- Generation of comparison data
- Provision of technical assistance for
  - -- data management
  - -- interpretation of standards
  - -- improving performance

State Role

LEADERSHIP IN SETTING PERFORMANCE GOALS

Coverage

STANDARD 1: Vocational Rehabilitation shall serve the maximum proportion of the potentially eligible target population, subject to the level of federal program funding and priorities among clients.

1. $\frac{\text{Annual number of clients (RSA-113)}}{\text{State population (in 100,000s) (Census data)}}$

2. $\frac{\text{Annual number of severely disabled clients served (RSA-113)}}{\text{Annual number of clients served (RSA-113)}}$

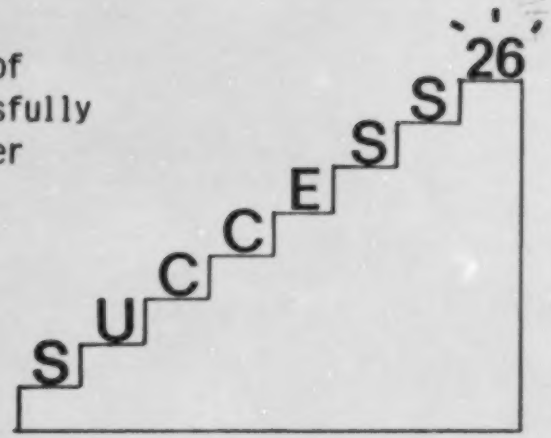
Cost-benefit

STANDARD 2: The Vocational Rehabilitation program shall use resources in a cost-effective manner and show a positive return to society of investment in vocational rehabilitation disabled clients.

1.	Total agency expenditures / Number of competitively employed 26 closures	(RSA-2) / (RSA-300)
2.	Total agency expenditures / Number of 26 closures	(RSA-2) / (RSA-300)
3.	(Benefits) / (Costs)	RSA-300, RSA-2, RSA-113, Follow-up Survey
4.	(Benefits-Costs)	

A⑨

STANDARD 3: VR shall maximize the number and proportion of clients accepted for services who are successfully rehabilitated, subject to the meeting of other standards.



1. $\frac{\text{Number of 26 closures (RSA-113)}}{\text{Number of 26 + 28 + 30 closures (RSA-113)}}$

Rehabilitation Rate

2. Number of 26 closures in current year - Number of 26 closures in previous year (RSA-113)

Economic Independence

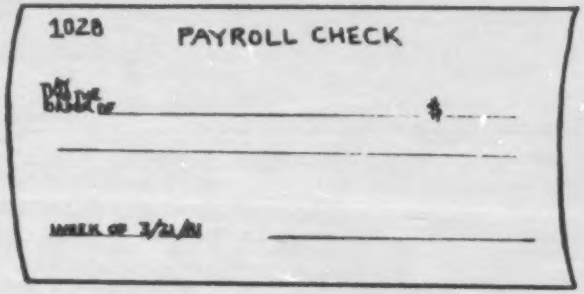
STANDARD 4: Rehabilitated clients shall evidence economic independence

1. Number of 26 closures with <u>weekly</u> earnings at or above federal minimum wage (RSA-300-U.S. Census Data)

   Number of 26 closures (RSA-300)

2. Mean weekly earnings of competitively employed 26s (RSA-300)

   Mean weekly earnings of other employees in the state (U.S. Census Data)



Gainful Activity

STANDARD 5: There shall be maximum placement of rehabilitated clients into competitive employment. Noncompetitive closures shall represent an improvement in gainful activity for the client.

1. Number of competitively employed 26s (RSA-300)

   Number of all 26 closures

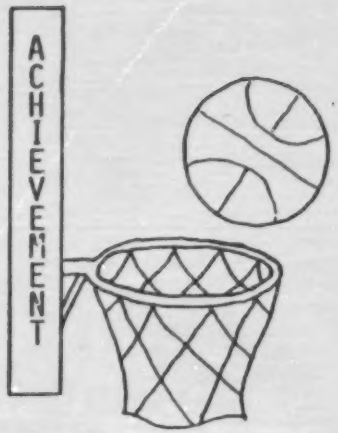
2. Number of competitively employed 26 closures with hourly earnings at or above federal minimum wage (RSA-300-U.S. Census Data)

   Number of competitively employed 26s (RSA-300)

3. Number of noncompetitive 26s with improvement on LSI-FAI measure from plan to closure (New Item) (RSA-300)

   Number of noncompetitive 26s (RSA-300)

55

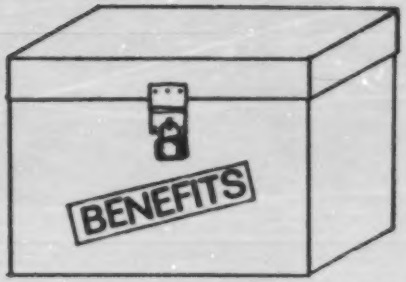


Vocational Gains

STANDARD 6: Rehabilitated clients shall evidence vocational gains.

1. $\dfrac{\text{(The sum of closure earnings for all 26 closures) minus (the sum of referral earnings for all 26 closures (RSA-300)}}{\text{Number of 26 closures (RSA-300)}}$

2. $\dfrac{\text{Number of 26 closures showing improved functional ability and life status (FAI-LSI Indicators)}}{\text{Number of 26 closures (RSA-300)}}$



Retention of Benefits

STANDARD 7: Rehabilitated clients shall retain the benefits of VR services.

1. Number of 26s with earnings at closure who retained or increased earnings at follow-up (RSA-300)

   Number of 26 closures with earnings at closure, surveyed at follow-up (Follow-up Survey)

2. Percent of 26 closures with public assistance as the primary source of support at follow-up (Follow-up Survey)

   Percent of 26 closures with public assistance as the primary source of support at closure (RSA-300)

3. Number of noncompetitive 26 closures retaining LSI/FAI closure skills (RSA-300)

   Number of noncompetitive 26 closures surveyed at follow-up (Follow-up Survey)

Client Satisfaction

STANDARD 8: Clients shall be satisfied with the Vocational Rehabilitation program, and rehabilitated clients shall appraise Vocational Rehabilitation services as useful in achieving and maintaining their vocational objectives.

1. Number of closed clients surveyed who are satisfied with their overall VR experience
   ---
   Number of closed clients surveyed (Closure Survey)

   Number of closed clients satisifed with their counselors

   Number or closed clients surveyed (Closure Survey)

   Number of closed clients satisfied with physical restoration services
   ---
   Number of closed clients surveyed (Closure Survey)

   Number of closed clients satisifed with job training services
   ---
   Number of closed clients surveyed (Closure Survey)

STANDARD 8 (Continued)

Number of closed clients satisfied with job placement services / Number of closed clients surveyed (Closure Survey)

Number of 26 closures judging the services they received to have been useful in obtaining their job/ homemaker situation or in current performance / Number of 26 closures surveyed (Closure Survey)

A (15)

R-300 VALIDITY

STANDARD 9: Information collected on clients by the R-300 and all data reporting systems used by RSA shall be valid, reliable, accurate, and complete.

A (16)

ELIGIBILITY

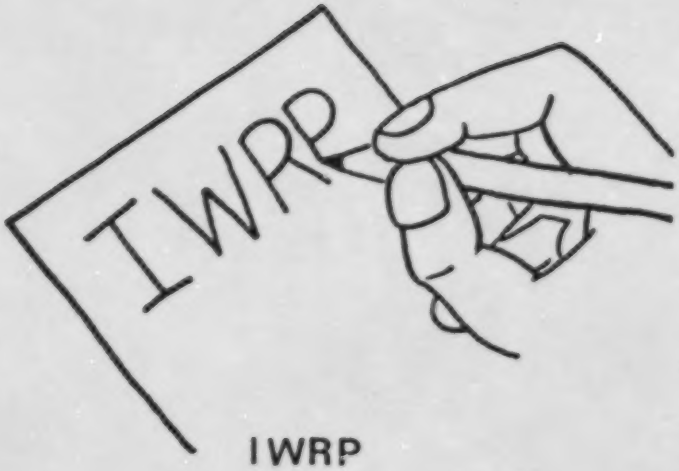
STANDARD 10: Eligibility decisions shall be based on accurate and sufficient diagnostic information, and VR shall continually review and evaluate eligibility decisions to ensure that decisions are being made in accordance with laws and regulations.

A (17)

TIMELINESS

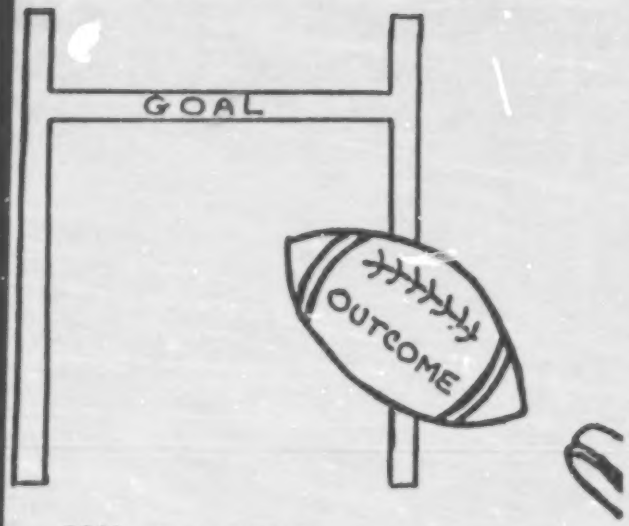
STANDARD 11: VR shall ensure that eligibility decisions and client movement through the VR process occur in a timely manner appropriate to the needs and capabilities of the clients.

A (18)



IWRP

STANDARD 12: VR shall provide an individualized written rehabilitation program for each applicable client, and VR and the client shall be accountable to each other for complying with this agreement.



GOAL - PLANNING

STANDARD 13: Counselors shall make an effort to set realistic goals for clients. Comprehensive consideration must be given to all factors in developing appropriate vocational goals such that there is maximum correspondence between goals and outcomes: competitive goals should have competitive outcomes and noncompetitive goals should have non-competitive outcomes.

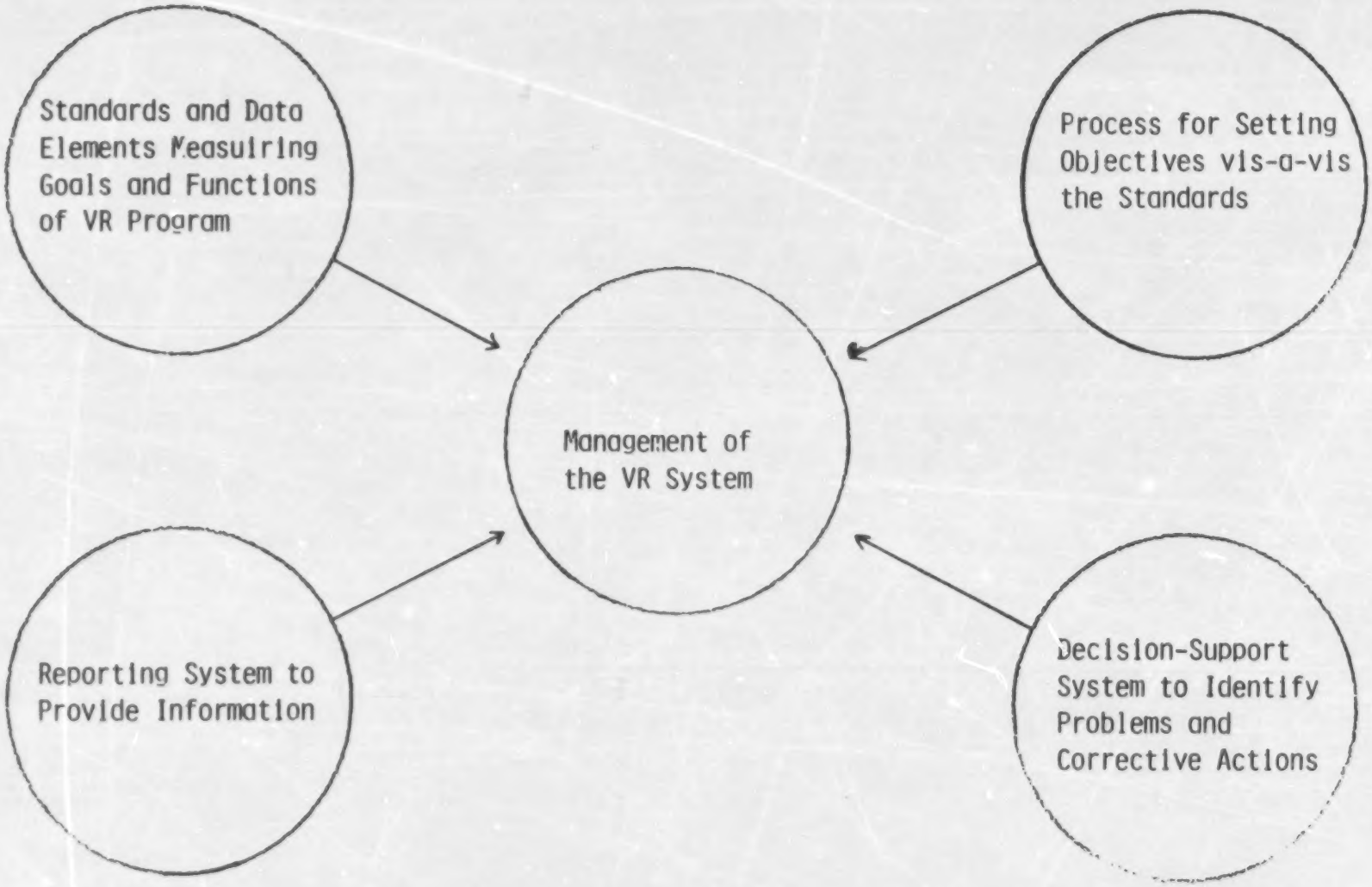
# of 26 closures with competitive goal AND competitive outcomes
---
# of 26 closures

# of 26 closures with competitive goals BUT noncompetitive outcomes
---
# of 26 closures

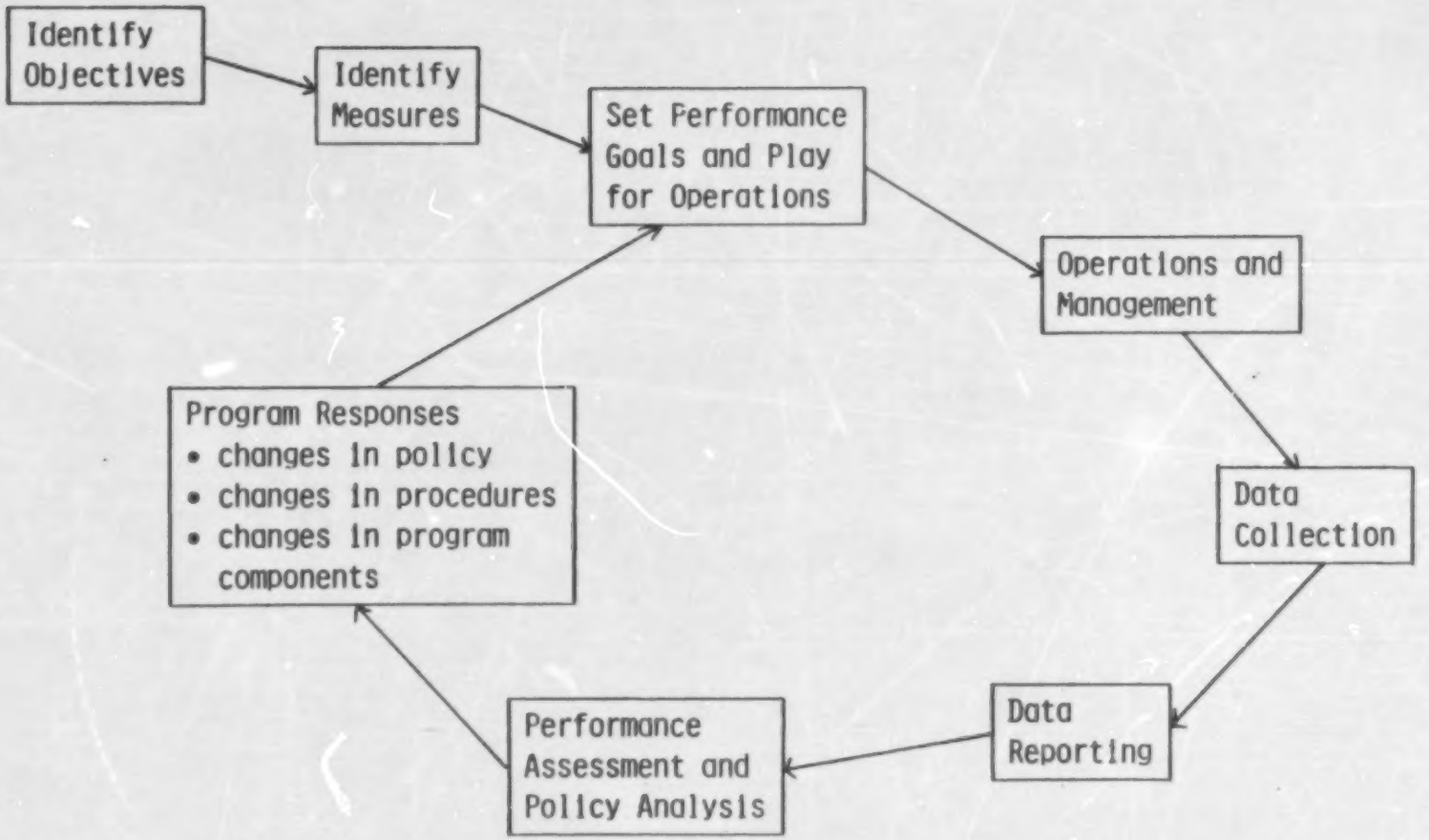
# of 26 closures with noncompetitive goals AND noncompetitive outcomes
---
# of 26 closures

# of 26 closures with noncompetive goals BUT competitive outcomes
---
# of 26 closures

THE PROGRAM STANDARDS SYSTEM


Standards and Data Elements Measuring Goals and Functions of VR Program
Process for Setting Objectives vis-a-vis the Standards
Management of the VR System
Reporting System to Provide Information
Decision-Support System to Identify Problems and Corrective Actions

OPERATING MODEL FOR THE REVISED PROGRAM STANDARDS SYSTEM



A (22)

CONCEPTS CAPTURED BY THE PROGRAM STANDARDS

- Coverage: Is the agency adequately addressing the scope and type of needs of its eligible target populations?

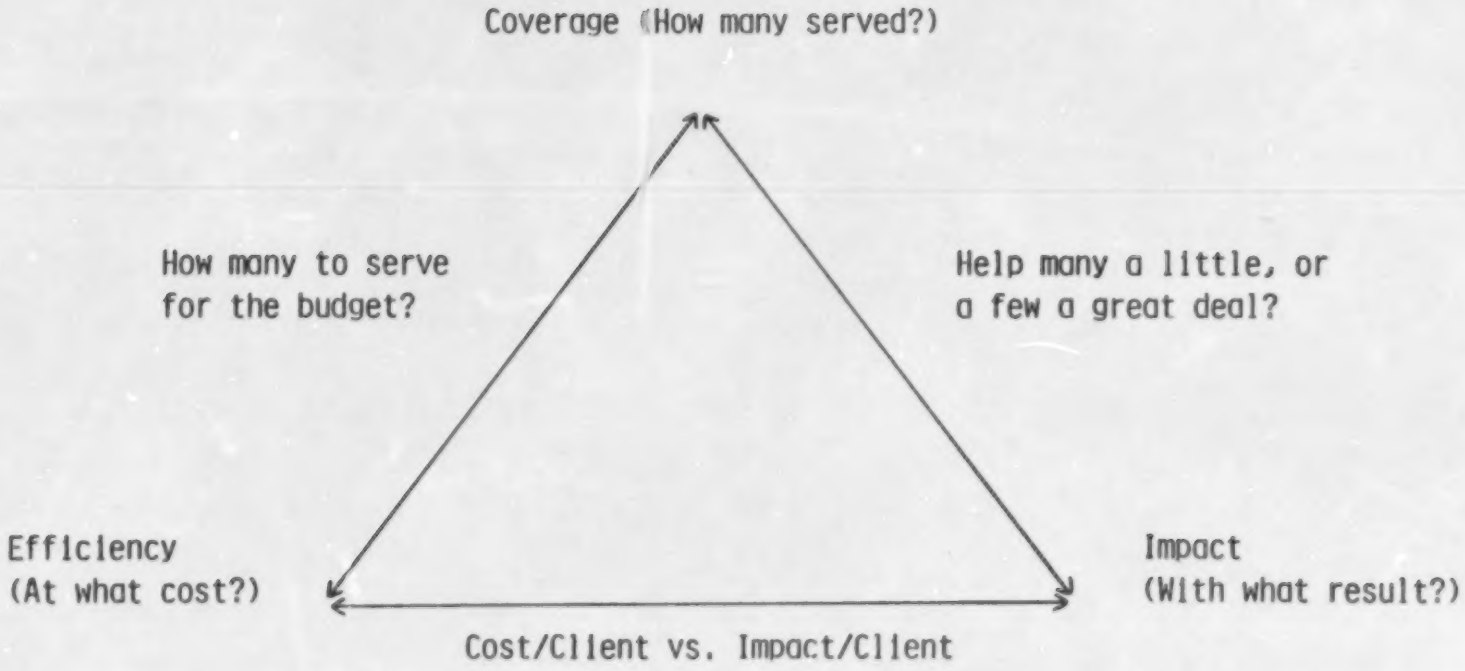
- Efficiency: Is the agency sufficiently productive, given the resources available to it?

- Impact: Does the agency help to improve the quality of life of the individual clients it serves? Does the agency return more benefits to society (in terms of wages, taxes and other benefits) than the societal costs it incurs (e.g., tax revenues expended)?

- Compliance: Are eligibility decisions made in accordance with the laws and regulations? Are all of the regulations being adequately addressed?

A (23)

PROGRAM TRADE-OFFS


Coverage (How many served?)
How many to serve for the budget?
Help many a little, or a few a great deal?
Efficiency (At what cost?)
Impact (With what result?)
Cost/Client vs. Impact/Client

75

PROGRAM STANDARDS AND THEIR RELATIONSHIP TO SYSTEM OBJECTIVES

Standard	Coverage	Efficiency	Impact	Compliance
STANDARD 1: Coverage	✓			
STANDARD 2: Cost-Effectiveness and Benefit Cost Return		✓		
STANDARD 3: Rehabilitation Rate			✓	
STANDARD 4: Economic Independence			✓	
STANDARD 5: Gainful Activity			✓	
STANDARD 6: Client Change			✓	
STANDARD 7: Retention			✓	
STANDARD 8: Satisfaction			✓	
STANDARD 9: R-300 Validity				✓
STANDARd 10: Eligibility	✓			✓
STANDARD 11: Timeliness		✓	✓	
STANDARD 12: IWRP			✓	✓
STANDARD 13: Goal Planning			✓	✓

TWO METHODS FOR DETERMINING PERFORMANCE GOALS

A (25)

	Proposed STATE DETERMINED Performance GOALS	Current Central Tendency Determined GOALS
Pros:	→ Allows for careful examination of what is an appropriate or desired outcome → Places responsibility for setting performance goals at the individual state level → Allows for all states to be successful → Allows for standards to be used as an effective management tool	→ Descriptive → Simple
Cons:		→ No examination of appropriate or desired performance levels → Generates automatic successes and failures → Places responsibility for setting performance goals at the federal level

A (26)

FACTORS STATE MAY CONSIDER IN SETTING PERFORMANCE GOALS

- Past performance
- Levels of performance of other, comparable states
- Nationwide performance
- Pending changes in the state's economic conditions, politics, client and service mix, other relevant variables
- Unique state conditions

A (27)

DATA SOURCES FOR PERFORMANCE STANDARDS

- R-300 Case Service Report
  Used for Standards 2, 4, 5, 6, 7

- R-2 Annual Report
  Used for Standard 2

- R-113 Quarterly Report
  Used for Standards 1, 2, 3

- Closure Survey
  Used for Standard 8

- Follow-up Survey
  Used for Standards 2, 7

- Statistical Abstract of U.S.
  Used for Standards 4, 5

- Current Population Report
  Used for Standard 1

A (28)

DATA SOURCE FOR PROCEDURAL STANDARDS

- Modified Case Review Schedule (MCRS)
  Used for Standards 10, 12

- Instrument to Determine the Validity of the R-300 Data
  Used for Standard 9

- Timeliness Assessment Instrument
  Used for Standard 11

- R-300 Case Service Report
  Used for Standards 9, 13

A (29)

DATA REPORTING SYSTEM OBJECTIVES

- To keep track of past performance as well as current expectations;

- To present the findings in an easy to use, easy to understand way, without unwieldly reports, emphasizing graphical presentations as well as plain numbers;

- To make sure that the reporting of results occurs in a timely fashion, so that future performance can be influenced.

A (30)

ACHIEVEMENT ON PERFORMANCE STANDARDS

Year: 1981
State: California

	This Year	This Year's Goal	1980	1980 Natl Norm
1. COVERAGE				
(i) Clients served per 100,000 population	xxx.x	xxx.x	xxx.x	xxx.x
(ii) Percent severely disabled served	xx.xx	xx.xx	xx.xx	xx.xx

ACHIEVEMENT ON PERFORMANCE STANDARDS: STATE COMPARISON

GENERAL AND COMBINED AGENCIES

Standard: 1. Coverage
Data Elements: (1) Clients Served per 100,000 Population
National Norm: xxx.x

Agency	This Year	This Year's Goal	1980	1979	1978	1977
Alabama	xxx.x	xxx.x	xxx.x	xxx.x	xxx.x	xxx.x
Alaska	xxx.x	xxx.x	xxx.x	xxx.x	xxx.x	xxx.x
Arizona	xxx.x	xxx.x	xxx.x	xxx.x	xxx.x	xxx.x
Arkansas	xxx.x	xxx.x	xxx.x	xxx.x	xxx.x	xxx.x
California	xxx.x	xxx.x	xxx.x	xxx.x	xxx.x	xxx.x

ACHIEVEMENT ON PERFORMANCE STANDARDS

ALL AGENCIES

Year: 1981

	Natl Norm	General	Blind	Combined
1. Coverage				
(i) Clients served per 100,000 population	xxx.x	xxx.x	xxx.x	xxx.x
(ii) Percent severely disabled served	xx.xx	xx.xx	xx.xx	xx.xx

A (33)

DECISION SUPPORT SYSTEM

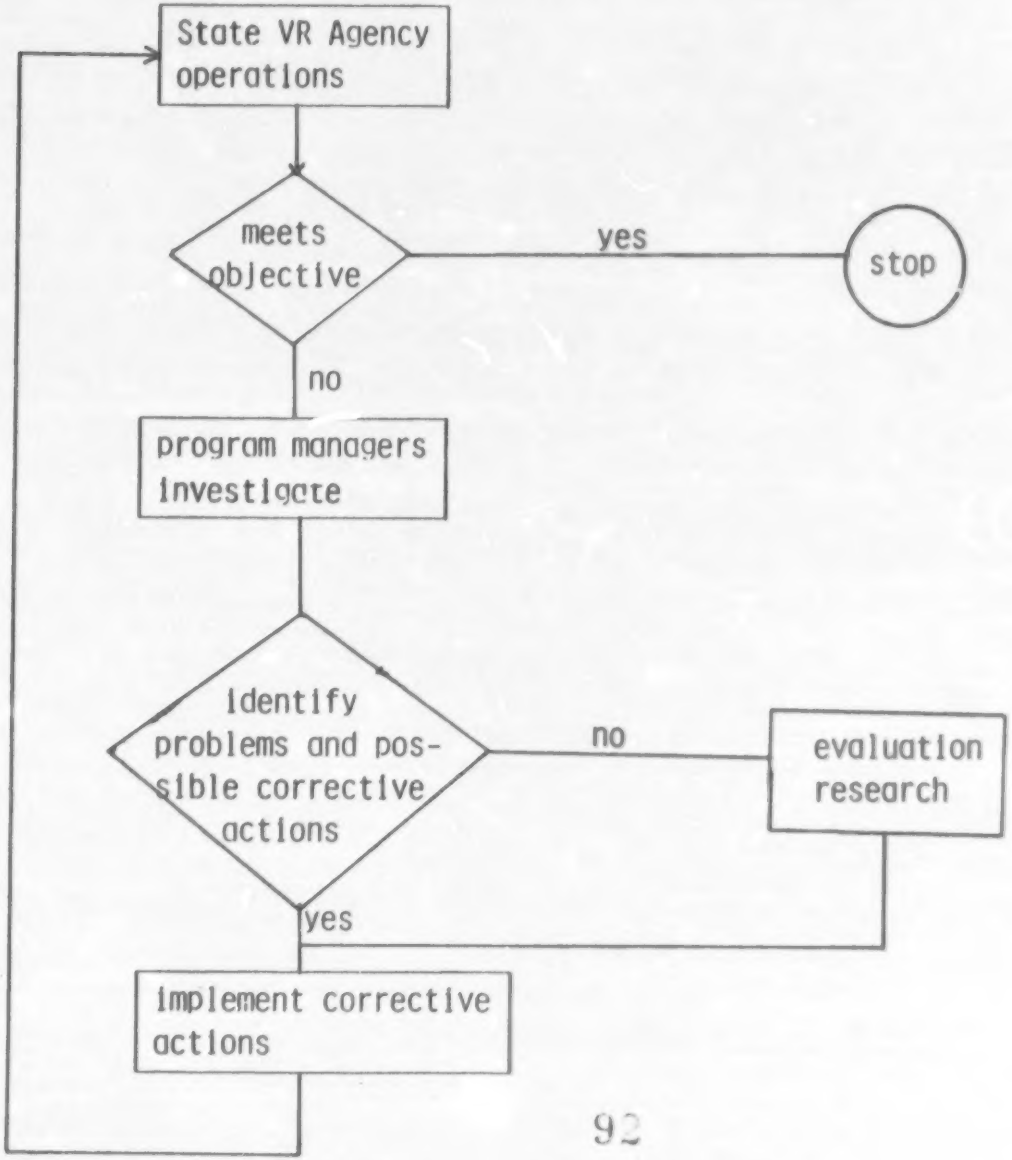
PURPOSE OF DATA

To provide VR program managers with information which is

- RELEVANT
- QUICKLY INTERPRETABLE
- TIMELY
- SUGGESTIVE OF ACTION

THE FLOW OF THE DECISION-SUPPORT SYSTEM

A (34)

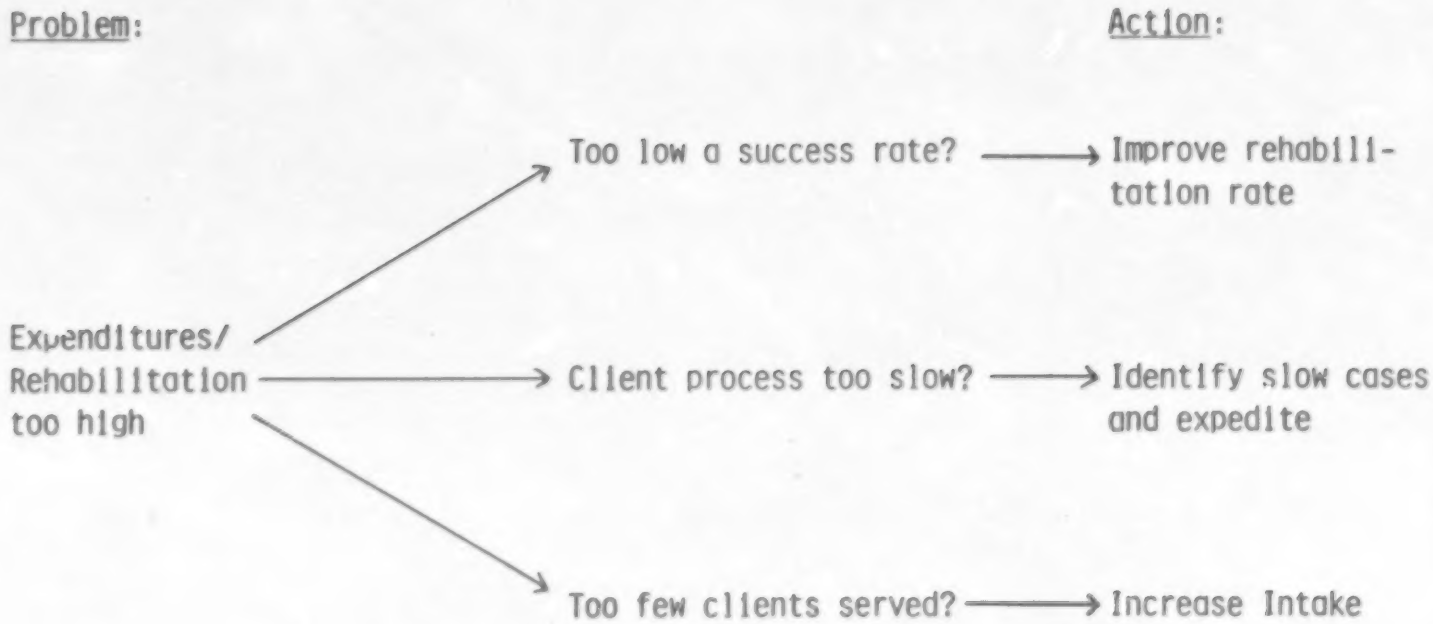


A (35)

FACTORS TO REMEMBER IN THE PROBLEM-IDENTIFICATION PROCESS

- First-level questions are not complex
- Pursue all alternatives to fullest extent
- Corrective measures may emerge at any stage in the process/implement them when you find them
- Do not be afraid to suggest more complex evaluation research, but also use the process to identify new ways to resolve poor performance

ALTERNATIVE EXPLANATION



A (37)

POSSIBLE PROGRAM RESPONSES TO ISSUES IDENTIFIED BY THE STANDARDS SYSTEM

- Congress, OMB, Department of Education: Funding levels, allocation formulas, priorities to client groups, procedural requirements;

- RSA: Regulations, monitoring, evaluation, research (along with NIHR), program development, guidance materials, training programs, demonstrations;

- Regional ORS: Technical assistance to state VR agencies, dissemination of information, diffusion of innovations, training;

- State Governments: Funding levels; and

- State VR Agencies: Same as RSA (e.g., regulations, evaluation), eligibility determination changes, counselor training, case management changes, service provision changes, management of sub-units (e.g., districts, offices).

CRITERIA FOR EVALUATING THE PROGRAM STANDARDS

- Performance of state agencies is improving as measured by the Standards

- State agencies are better at meeting their stated objectives

- Program managers find the system useful

CHANGING THE STANDARDS SYSTEM

External Change Factors

- The goals and functions of the VR program may change, necessitating changes in the standards
- The MIS or other reporting within or without VR may change, changing what will be available for the reporting system
- The actors and types of corrective actions possibly may change
- Actions taken by state VR agencies might push the VR program in undesirable directions, as state program managers try to respond to the standards system, thus requiring additional standards or changed expectations
- The achievement of the state VR agencies may not be improving over time

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CHANGING THE STANDARDS SYSTEM (continued)

Internal Change Factors

- Some data elements may be found to have lower data quality than is acceptable, and thus require new procedures or even replacement
- Some of the data collection activities may require change, because of logistical problems
- Difficulties in the reporting system and in the reporting cycle may arise
- Objectives being set may not be correct

Vocational Rehabilitation Program
Standards Evaluation System

Presentation Plans and Overheads-B:

Computing and Presenting
The Eight Performance Standards

bpa
3200 adeline street berkeley, california 9470

Time From Start	Overhead Projection #	Points for Presentation
	1	VR PERFORMANCE STANDARDS: THEIR RATIONALE AND DATA ELEMENTS
		• Does everyone have a packet which looks like this?
		• All the information to be discussed today is contained in this packet. Use it as a reference guide both during and after the presentation.
		TS - Today's presentation has two objectives:
	2	OBJECTIVES OF THE PRESENTATION
		• First, to familiarize VR staff with the rationale for each of the eight Performance Standards;
		• Second, to outline the rationale and data source for all of the data items proposed for each standard; and
		• Finally, to present, for a sample standard, how one would compute the data elements.
	3	OVERVIEW OF PERFORMANCE STANDARDS
		• VR Performance Standards are concerned with:
		** 1) Coverage: Is the agency adequately addressing the scope and needs of its eligible target populations?
		** 2) Efficiency: Is the agency sufficiently productive, given the resources available to it?
		** 3) Impact: Does the agency improve the quality of life of the individual clients it serves? Does the agency return more benefits to society than the societal costs it incurs?
		Each of the eight performance standards address one of these concerns. In the following presentation, we will first explore the rationale for each of the performance standards and their corresponding data elements. For each data element, the source of the

Time From Start	Overhead Projection #	Points for Presentation

data will also be indicated on the overhead displays. We will then discuss how one would actually compute the suggested data elements for a sample standard.

TS - Now, let us look briefly at the rationale and data elements for each of the eight performance standards.

4

STANDARD 1: VOCATIONAL REHABILITATION SHALL SERVE THE POTENTIALLY ELIGIBLE TARGET POPULATION, SUBJECT TO THE LEVEL OF FEDERAL PROGRAM FUNDING AND PRIORITIES AMONG CLIENTS.

This standard addresses the extent to which the VR program is serving the eligible target population. It is of paramount importance to ensure accessibility of services to all eligible disabled.

TS - Standard 1 has two data elements:

5

- The first data element addresses the number of clients annually served per 100,000 state population. Although this data element does not provide a true estimate of the level of coverage of the eligible target population, it provides an adequate proxy measure of the target population in terms of the total state population.

  The formula for this element is:

✓

$$\frac{\text{Annual number of clients (RSA-113)}}{\text{State population (in 100,000's) (Census data)}}$$

6

- The second data element concerns the percentage of severely disabled clients served in a given year. Because the proportion of severely disabled within a caseload can reasonably be expected to impact negatively upon a state agency's caseload size and on its total costs, the proportion of the caseload that is severely disabled must be taken into account to effectively assess coverage.

  The formula for this data element is:

✓

$$\frac{\text{Annual number of severely disabled clients served (RSA-113)}}{\text{Annual number of clients served (RSA-113)}}$$

Time From Start	Overhead Projection #	Points for Presentation
	7	STANDARD 2: THE VOCATIONAL REHABILITATION PROGRAM SHALL USE RESOURCES IN A COST-EFFECTIVE MANNER AND SHOW A POSITIVE RETURN TO SOCIETY OF INVESTMENT IN VOCATIONAL REHABILIATION OF DISABLED CLIENTS.

This standard relates to the program's cost-effectiveness goal (i.e., how successfully did it achieve desired objectives with the financial resources available) and the cost-benefit concerns (i.e., what was the return on the investment). Specifically, it addresses the question of whether we are getting more out of the program than we are putting into it.

TS - Here, we have four data elements:

8

- The first element compares total agency expenditures to the number of competitively employed 26 closures. It applies the most stringent criteria to the measurement of cost-effectiveness by focusing on only those 26 closures who are competitively employed at the time services terminate. While this data element closely parallels element 2(ii), expenditure per 26 closure, it is included because of the long-standing consensus that competitive employment is the highest quality and most desirable type of closure obtainable.

  The formula for this data element is:

✓

$$\frac{\text{Total agency expenditures (RSA-2)}}{\text{Number of competitively employed 26 closures (RSA-300)}}$$

9

- The second cost-effectiveness measure relaxes the measurement criteria, assessing value to all types of rehabilitations. It recognizes that some clients are not capable of achieving competitive employment and that other employment outcomes can represent achievement commensurate with these clients' abilities. This data element compares total agency expenditures to all 26 closures, thus capturing the effect of gainful activity, whether it lies in the realm of competitive or noncompetitive employment.

  The formula for this data element is:

✓

$$\frac{\text{Total agency expenditures (RSA-2)}}{\text{Number of 26 closures (RSA-300)}}$$

Time From Start	Overhead Projection #	Points for Presentation
	10	• The third and fourth data elements are very similar in concept and, therefore, will be discussed together. Unlike cost-effectiveness measures, which determine the unit costs for achieving a given objective (such as costs per competitive closure), benefit-cost models estimate total benefits and total costs in terms of dollars. These models are neutral with regard to type of delivery strategy. As such, they do not penalize agencies which choose to spend more per client in order to produce better results. Because of their surface simplicity, and because they are a popular sophisticated analytic tool for evaluating program worth, benefit-cost measures of the VR system are included in the Performance Standards. Both of the benefit-cost data elements proposed for this standard use the discounted present value of social benefits and costs, and rely upon the same components to arrive at benefits and costs. These components are as follows: ** Benefits -- discounted value of paid earnings; -- change in output of homemaker closures; -- change in output of unpaid family workers; -- change in "after hours work" (e.g., homemaking tasks performed by wage-earning rehabilitants); -- fringe benefits; -- change in output of families of rehabilitants (as a result of rehabilitants assuming homemaker tasks); -- reductions in public assistance benefits; and -- repeater costs (a "negative benefit"). ** Costs -- total program costs during the fiscal year, minus carry-over costs and maintenance costs; -- costs borne by parties other than VR; -- research, training, and demonstration costs; -- benefits foregone by clients during participation in VR services (i.e., any wages and fringe benefits foregone by clients with earnings at referral); and -- client-borne costs for VR services.

Time From Start	Overhead Projection #	Points for Presentation
	11	The formula and source for these two data elements are as follows:
	✓	2(iii) (Benefits / Costs) — RSA-300, RSA-2, RSA-113, Follow-Up Survey
		2(iv) (Benefits-Costs) — RSA-300, RSA-2, RSA-113, Follow-Up Survey
	12	STANDARD 3: VR SHALL MAXIMIZE THE NUMBER AND PROPORTION OF CLIENTS ACCEPTED FOR SERVICES WHO ARE SUCCESSFULLY REHABILITATED, SUBJECT TO THE MEETING OF OTHER STANDARDS.
		Traditionally, success in VR has been measured by the number of "26 closures," or successful rehabilitations obtained. Because a central goal of VR is to rehabilitate clients, it is essential that the standards system include a way of presenting how many individuals were successfuly served and the extent to which this number increases over time.
		TS - This standard has two data elements:
	13	• The first data element provides a straightforward measure of an agency's success in rehabilitating the clients it accepts for services. The data element focuses on the proportion of clients, accepted for service (i.e., excluding 08's) who are successfully rehabilitated.
		The formula for this data element is:
	✓	$\frac{\text{Number of 26 closures (RSA-113)}}{\text{Number of 26 + 28 + 30 closures (RSA-113)}}$
	14	• The second data element attempts to assess an agency's success in maximizing the number of clients, accepted for services, who are successfully rehabilitated. The measure uses the state agency's prior performance as a baseline for determining success in "maximization." An agency is judged to have maximized the number of rehabilitants if it has increased the number of 26 closures by some previously specified amount, as set by the state agency, in conjunction with RSA.
		The formula for this data element is:
	✓	(Number of 26 closures in current year) - (Number of 26 closures in previous year) (RSA-113)

Time From Start	Overhead Projection #	Points for Presentation
	15	STANDARD 4: REHABILITATED CLIENTS SHALL EVIDENCE ECONOMIC INDEPENDENCE
		This standard concerns the rehabilitated client's ability to become economically self-sufficient.
		TS - Here again we have two data elements:
	16	• In addressing economic independence, the logical place to look is to wages. The first data element assesses wages as they compare to the federal minimum wage. The normative implications of this data element are that a disabled person should be expected, under equivalent circumstances, to make at least the minimum wage required by law. This data element uses the weekly minimum wage figure as the standard rather than the hourly wage, because the former more accurately captures the concept of this standard. Whereas hourly wage indicates a measure of the employee's worth to the employer, total earnings is a better indicator of the employee's financial well-being. If an employee is able to work only five hours a week, his/her economic condition will be affected by this as well as by the hourly rate.
		The formula for this data element is:
		✓ $\frac{\text{Number of 26 closures with weekly earnings at or above federal minimum wage (RSA-300-U.S. Census Data)}}{\text{Number of 26 closures (RSA-300)}}$
	17	• The second data element controls for state-to-state variation in earnings levels, whereas the first data element does not. In some respects, this is a more comprehensive indicator than the first data element because it provides an estimate of a clients' "standard of living" relative to other persons in his or her state.
		The formula for this data element is:
		✓ $\frac{\text{Mean weekly earnings of competitively employed 26's (RSA-300)}}{\text{Mean weekly earnings of other employees in the state (U.S. Census Data)}}$

Time From Start	Overhead Projection #	Points for Presentation
	18	STANDARD 5: THERE SHALL BE MAXIMUM PLACEMENT OF REHABILITATED CLIENTS INTO COMPETITIVE EMPLOYMENT. NON-COMPETITIVE CLOSURES SHALL REPRESENT AN IMPROVEMENT IN GAINFUL ACTIVITY FOR THE CLIENT.
		This standard concerns the impact of VR agencies on the clients, irrespective of whether this impact results in competitive employment or an improvement in function and life status for the clients.
		TS - Standard 5 has three data elements:
	19	• This standard's bias toward competitive employment reflects the belief that vocational rehabilitation should focus on employment, preferably competitive employment. For a standard emphasizing maximum placement into competitive employment, perhaps the most obvious data element is to determine the proportion of 26 closures placed into competitive employment.
		The formula for the data element is:
✓		Number of competitively employed 26's (RSA-300) / Number of all 26 closures (RSA-300)
	20	• The second data element applies more stringent criteria to the measurement of "maximum placement of rehabilitated clients into competitive employment." It compares the number of competitively employed 26 closures with hourly earnings at or above the federal minimum wage to the total number of competitively employed 26 closures. As in the first data element for Standard 4, this data element implies that a disabled person in the competitive labor market should be expected to earn at least the federal minimum wage. Unlike the prior data element, however, this measure represents an employee's worth to the employer, as determined by the client's hourly wage. Thus, this data element provides a measure of the value of rehabilitated VR clients who are in the competitive labor market relative to the federal minimum wage.
		The formula for this data element is:
✓		Number of competitively employed 26 closures with hourly earnings at or above federal minimum wage (RSA-300-U.S. Census Data) / Number of competitively employed 26's (RSA-300)

Time From Start	Overhead Projection #	Points for Presentation
	21	• Closures into non-competitive employment may be legitimate for certain clients, but in order to attribute any credit to VR for "rehabilitating" clients into non-competitive employment, there must be some indication that VR helped improve those clients' capacities for gainful activity. The third data element will use information gathered on clients at acceptance and at closure, using elements of the Functional Assessment Inventory (FAI) and Life Status Indicators (LSI) instruments which will be added to the client's RSA-300. RSA is currently undertaking a pretest of the FAI and LSI items to determine which specific items to include on the RSA-300.

The formula for this data element is:

✓ $$\frac{\text{Number of non-competitive 26's with improvement on LSI-FAI measure from plan to closure (RSA-300)}}{\text{Number of non-competitive 26's (RSA-300)}}$$

22 STANDARD 6: REHABILITATED CLIENTS SHALL EVIDENCE VOCATIONAL GAINS

It is axiomatic that rehabilitated clients should evidence some sort of vocational gains either in monetary or non-monetary terms at the point VR services terminate. This standard assures that attention will be paid by the VR field to documenting and seeking changes in a client's earning status, functional ability, or life status. It supplements the concern for measuring post-service outcomes (as in Standards 3-5) by using the client's preservice circumstances as a baseline for comparison.

TS - Standard 6 has two data elements:

23 • The first data element is included because wages are the most straight-forward indicator of vocational change. Weekly earnings are used to measure the change in a client's wages which occurred during the period of time he or she received VR services.

The formula for this data element is:

✓ $$\frac{\text{(The sum of closure earnings for all 26 closures) minus (the sum of referral earnings for all 26 closures) (RSA-300)}}{\text{Number of 26 closures (RSA-300)}}$$

Time From Start	Overhead Projection #	Points for Presentation
	24	• In addition to vocational change (as measured by the first data element) the VR program also often acts as a change-agent in terms of non-vocational aspects of a client's life. This reality has resulted in the inclusion of a second data element for this standard. As with the data elements associated with non-competitive employment closures, the methodology for assessing non-vocational change requires further development before a specific computation formula can be developed.
	25	STANDARD 7: REHABILITATED CLIENTS SHALL RETAIN THE BENEFITS OF VR SERVICES Vocational rehabilitation programs, like all service programs, ideally strive to have the gains realized by their clients through program participation retained over time. Job losses shortly following successful closure can identify serious short-comings in a program's service strategy and may point to an incongruence between program goals and individual client goals. Are clients being "rehabilitated" only on a temporary basis or are the gains achieved during the service period being retained over time? This question has a great degree of importance to the overall VR mission and thus a standard in this area is highly appropriate. Aside from employment measures of benefit retention, additional attention is given to expanding the data elements for this standard to include non-employment measures.
		TS - Standard 7 has three data elements:
	26	• As noted, retention of benefits gained through VR services is very important both to the individual client and to the overall effectiveness of the program. The first data element looks at retention of wages earned as one of the most important benefits obtained from VR. The formula for this data element is:
	✓	$\frac{\text{Number of 26's with earnings at closure who retained or increased earnings at follow-up}}{\text{Number of 26 closures with earnings at closure, surveyed at follow-up}}$ (RSA-300) / (Follow-Up Survey)

Time From Start	Overhead Projection #	Points for Presentation
	27	• The second data element provides a needed dimension in assessing benefit-retention for non-competitively as well as competitively placed successful closures. Here benefits are proxied by measuring the extent of the clients' use of public resources. By focusing on the degree to which there is a reduced need for public assistance, an emphasis is given to the economic self-sufficiency of the client in terms of stability or improvement. This data element requires a new definition of "primary source of support" were "source of support" is broken into only two categories (public versus private) and where primary is taken to mean the source supplies 51% or more of a person's total monthly support. The formula for this data element is: ✓ Percent of 26 closures with public assistance as the primary source of support at follow-up (Follow-up Survey) / Percent of 26 closures with public assistance as the primary source of support at closure (RSA-300)
	28	• Retention of functional and life status benefits is equally important as the retention of vocational benefits, particularly in the case of non-competitively employed 26 closures for whom non-vocational improvement may be a primary benefit derived from participation in VR services. The third data element updates the information provided by data element under Standard 5, and will use the same FAI and LSI data items used for the Standard 5 data elements. However, for the purposes of this data element, the FAI and LSI items will need to be modified into a form suitable for self-administration by the clients, via the Follow-up Survey. The specific items and their forms will be determined after completion of the RSA's FAI/LSI pretest. Once implemented, the data element will have the following formula and data sources: ✓ Number of non-competitive 26 closures retaining LSI/FAI closure skills (RSA-300) / Number of non-competitive 26 closures surveyed at follow-up (Follow-up Survey)

Time From Start	Overhead Projection #	Points for Presentation
	29	STANDARD 8: CLIENTS SHALL BE SATISFIED WITH THE VOCATIONAL REHABILITATION PROGRAM, AND REHABILITATED CLIENTS SHALL APPRAISE VOCATIONAL REHABILITATION SERVICES AS USEFUL IN ACHIEVING AND MAINTAINING THEIR VOCATIONAL OBJECTIVES

As an indicator of consumer appraisal of services, the standard on client satisfaction with vocational rehabilitation services has considerable merit. Since client satisfaction polls usually offer a high degree of support for the program, this standard is viewed as being beneficial in lobbying for expanded financial support at both the state and federal level. Complementing the political utility of satisfaction measure is the inclusion of a client utility assessment measure for this standard. the intent of this clause is to ensure that successfully closed clients assess the utility of VR services positively in terms of actually having contributed to their getting a job and functioning in it. As a substantive rationale for the satisfaction standard, utility assessment offers a valuable entree for probing areas needing program improvement and for ensuring consumer involvement in improving the responsiveness of VR services to client needs.

TS - Again, there are three data elements involved:

30

- As one of the data elements of the original nine standards, retaining overall satisfaction as a measure of program performance has several advantages including (1) the procedure is in place; (2) developmental costs have already been absorbed; (3) it constitutes a composite measure of client satisfaction which responds to legislative and consumer advocacy concerns; and (4) the data show some discrimination among closure statuses.

The formula and data source for this element is:

✓

$$\frac{\text{Number of closed clients surveyed who are satisfied with their overall VR experience}}{\text{Number of closed clients surveyed}}$$ (Closure Survey)

Time From Start	Overhead Projection #	Points for Presentation
	31	• The second data element attempts to gain a more detailed picture of client satisfaction with specific key aspects of the overall VR process. In particular, the aspects isolated for inquiry include questions about the client's counselor, the physical restoration services received, the job training services received, and the job placement process. Consistent negative assessment in any one of these areas would be highly useful in guiding state evaluations and providing substantive input to programmatic improvements.

The formula and data source for this element is:

✓ a. $\frac{\text{Number of closed clients satisfied with their counselors}}{\text{Number of closed clients surveyed}}$ (Closure Survey)

✓ b. $\frac{\text{Number of closed clients satisfied with physical restoration services}}{\text{Number of closed clients surveyed}}$ (Closure Survey)

✓ c. $\frac{\text{Number of closed clients satisfied with job training services}}{\text{Number of closed clients surveyed}}$ (Closure Survey)

✓ d. $\frac{\text{Number of closed clients satisfied with job placement services}}{\text{Number of closed clients surveyed}}$ (Closure Survey)

	32	• The third data element will assess the percentage of 26 closures judging services received to have been instrumental in (a) securing their outcome situations, and (b) obtaining the skills necessary to function in their new positions. While not unequivocably objective, the client's assessment of whether he or she uses the skills and/or knowledge gained from VR services is the closest approximation of the case.

The formula and data source for this element is:

✓ $\frac{\text{Number of 26 closures judging the services they received to have been useful in obtaining their job/homemaker situation or in current performance}}{\text{Number of 26 closures surveyed}}$ (Closure Survey)

Time From Start	Overhead Projection #	Points for Presentation
	33	As you can see, these eight standards cover a wide range of concerns and offer agency personnel simple, yet comprehensive, measures of program performance. While the computations necessary to arrive at each data element are relatively straightforward, and involve only simple arithmetic, it might be useful to quickly walk through the necessary calculations for one of the standards.

COMPUTING THE DATA ELEMENTS FOR STANDARD FIVE

34

- As previously discussed, Standard Five states:

  THERE SHALL BE MAXIMUM PLACEMENT OF REHABILITATED CLIENTS INTO COMPETITIVE EMPLOYMENT. NON-COMPETITIVE CLOSURES SHALL REPRESENT AN IMPROVEMENT IN GAINFUL ACTIVITY FOR THE CLIENT.

This Standard includes the following three data elements:

- percent of 26 closures competitively employed
- percent of competitively employed 26 closures with hourly earnings at or above the federal minimum wage; and
- percent of non-competitively employed 26 closures showing improvement in function and life status.

TS - Because the actual information necessary to address the third data element has yet to be incorporated in the RSA-300 system, our presentation will focus only on the first two data elements for this standard.

35

- The formula and data sources for the first data item-element are as follows:

$$\frac{\text{Number of competitively employed 26 closures (RSA-300)}}{\text{Number of 26 closures (RSA-300)}}$$

Computing the value of this data element requires three simple steps:

Time From Start	Overhead Projection #	Points for Presentation
		** • STEP ONE For the number of 26 closures, select from the R-300s all clients in the Part 4.N.2 category and count them.
		** • STEP TWO Of these 26 closures selected, select out those whose work status (Part 4.I) is coded "1" or "3" for competitively employed and count them.
		** • STEP THREE Divide the number determined in Step 2 by the number in Step 1, and, because the quotient will be a decimal number (i.e., .71), multiply by 100 to determine the percent (i.e., 71%).
		This percentage will then indicate the percentage of 26 closures who in fact were competitively employed at the time their case was closed. Ideally, the higher this percentage the greater the success of the program in meeting Standard 5.
		TS - Now, let us look at the second data element.
	36	• The formula and data sources for the second data element are: $\frac{\text{Number of competitively employed 26 closures with hourly earnings at or above the federal minimum wage}}{\text{Number of competitively employed 26 closures}}$ $\frac{\text{(RSA-300)}}{\text{(RSA-300)}}$
		Computing the value of this data element also requires three simple steps.
		** • STEP ONE For the number of 26 closures competitively employed, select from the R-300s all clients in the Part 4.N.2 category and count all those coded "1" or "3".
		** • STEP TWO Of these competitively-employed closures, select out those who are indicated as earning an hourly wage at or above the federal minimum wage.

Time From Start	Overhead Projection #	Points for Presentation
		** • STEP THREE Divide the number determined in step 2 by the number in step 1, and, because the quotient will be a decimal number, multiply by 100 to determine the percent. This percentage will indicate the percentage of those 26 closures who had been competitively employed and were earning an hourly wage at or above the federal minimum level. Again, the higher the percentage, the greater the success of the program in meeting Standard 5. TS - We have now covered the specific instructions for computing each of the data elements of the Performance Standards. There are two additional general instructions for computing the data elements.
	37	ADDITIONAL INSTRUCTIONS
		** First, the client Closure and Follow-up Surveys need to be merged with the individual clients' RSA-300s. • For the Follow-up Survey, this is necessary so that comparisons may be made between the client's situation at closure and at follow-up. • The Closure Survey data should be merged to provide access to clients' individual service records and personal characteristics. In this way, agencies can conduct policy-related analysis when problems in performance appear in satisfaction and service utility data elements. • Merging requires that a consistent identifier appear on both the RSA-300 and the surveys such as client case number or Social Security number.
		** Finally, all calculations must be made using only valid cases. This excludes cases for which the specific data item is missing because: • the counselor was unable to obtain the item for entry on the RSA-300; • the client gave no response to the question on the survey; or

Time From Start	Overhead Projection #	Points for Presentation
		• the question was not appropriate to the client's circumstances (such as assessing satisfaction of a service the client didn't receive).
	38	Restricting the data used to valid cases only can make a substantial difference in the computation of data elements. In this example, the correct computation uses only 26s with valid earnings data at closure in the denominator and makes a substantial difference in the answer.
		CONCLUDING COMMENTS
		• This concludes the formal presentation. As I stated in the beginning, all of the information presented today is included in the Trainee Handbook, Section B.

B(1)

Vocational Rehabilitation Program
Standards Evaluation System

Trainee Handbook-B:

Computing and Presenting
The Eight Performance Standards

bpa
3200 adeline street berkeley, california 94703

OBJECTIVES OF THE PRESENTATION

- Present rationale for each standard;
- Outline rationale and data source for each data element; and
- Discuss how to compute data elements for a sample standard.

PERFORMANCE STANDARDS

- Coverage
- Efficiency
- Impact

B ④

Coverage

STANDARD 1: Vocational Rehabilitation shall serve the maximum proportion of the potentially eligible target population, subject to the level of federal program funding and priorities among clients.

DATA ELEMENT 1(i): Clients Served per 100,000 Population

Formula	Data Sources
# served in a given year / State population (in 100,000s)	RSA - 113 / U. S. Census Series P-25

B (6)

DATA ELEMENT 1(11): Percent Severely Disabled Served

Formula	Data Sources
$\frac{\text{\# severely disabled served}}{\text{Total \# served}}$ in a given year	$\frac{\text{RSA - 113}}{\text{RSA - 113}}$

Cost-benefit

STANDARD 2: The Vocational Rehabilitation program shall use resources in a cost-effective manner and show a positive return to society of investment in vocational rehabilitation of disabled clients.

DATA ELEMENT 2(i): Expenditure per Competitively Employed 26 Closure

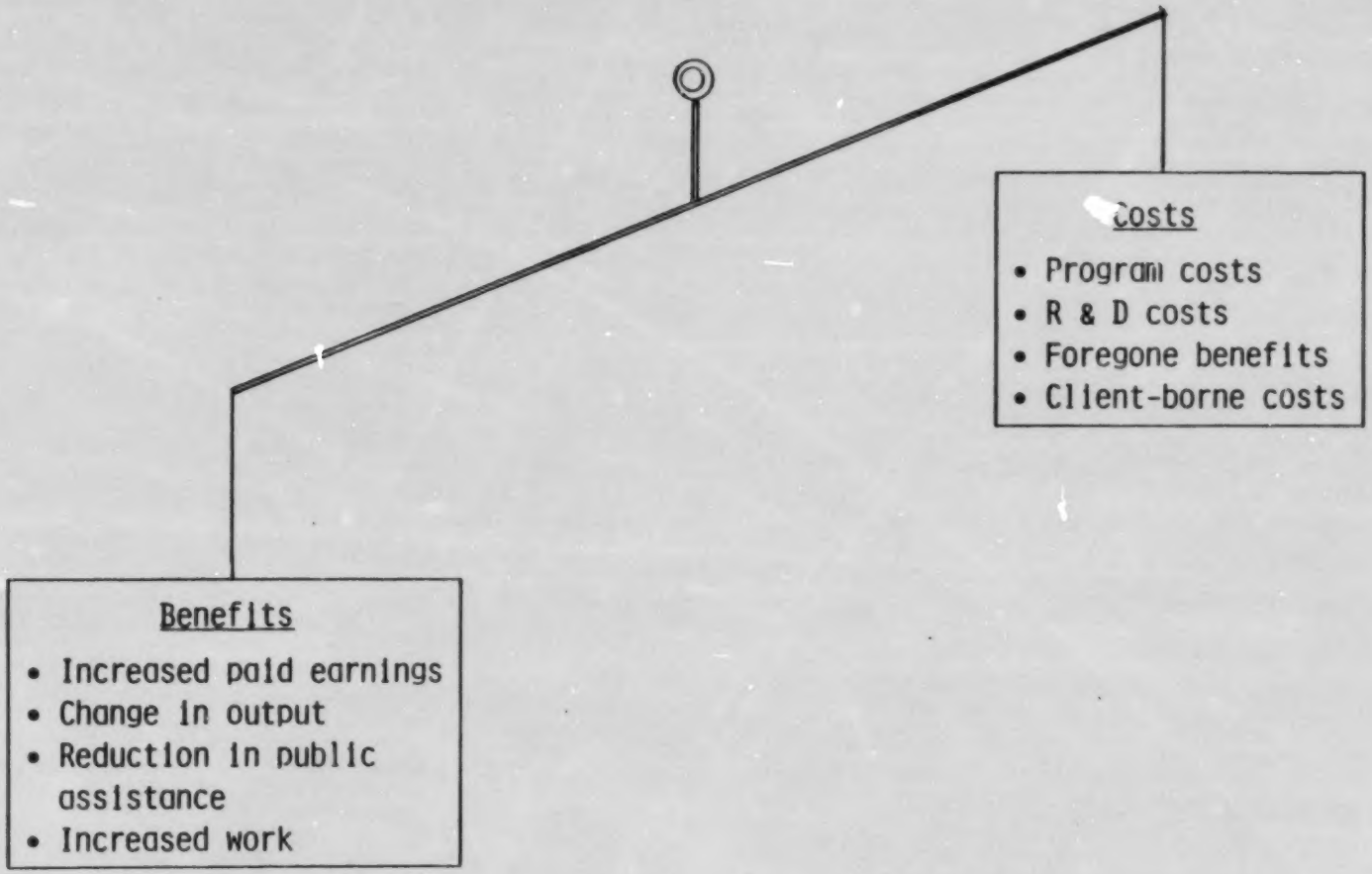
Formula	Data Sources
$\frac{\text{Total agency expenditures}}{\text{\# competitively employed 26 closures}}$	$\frac{\text{RSA - 2}}{\text{RSA - 300}}$

DATA ELEMENT 2(11) Expenditure per 26 Closures

Formula	Data Sources
$\frac{\text{Total agency expenditures}}{\text{\# 26 closures}}$	$\frac{\text{RSA - 2}}{\text{RSA - 300}}$

WEIGHING BENEFITS AND COSTS

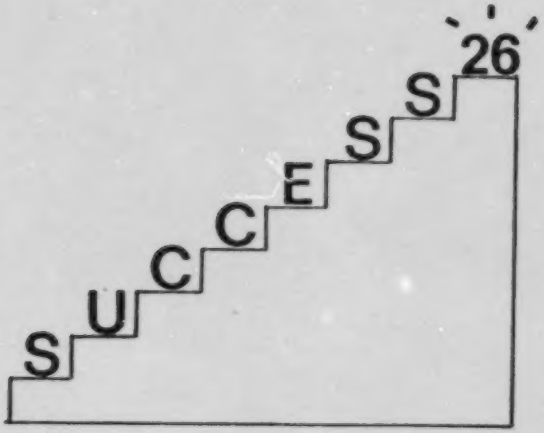
B ⑩



DATA ELEMENT 2(iii): Ratio of Total VR Benefits to Total VR Costs (Benefit-Cost Ratio)

DATA ELEMENT 2(iv): Net Total Benefit from VR Sources (Discounted Net Present Value)

	Formula	Data Sources
2(iii)	$\frac{\text{Benefits}}{\text{Costs}}$	• RSA - 300 • RSA - 2 • RSA - 113 • Follow-Up Survey
2(iv)	Benefits - Costs	



Rehabilitation Rate

STANDARD 3: VR shall maximize the number and proportion of clients accepted for services who are successfully rehabilitated, subject to the meeting of other standards.

DATA ELEMENT 3(1): Percent 26 closures

Formula	Data Sources
$\frac{\text{\# 26 closures}}{\text{\# 26 + 28 + 30 closures}}$	$\frac{\text{RSA - 113}}{\text{RSA - 113}}$

DATA ELEMENT 3(11): Annual Change in Number of 26 Closures

Formula	Data Sources
# of 26 closures in current year minus # of 26 closures in previous year	• RSA - 113

Economic Independence

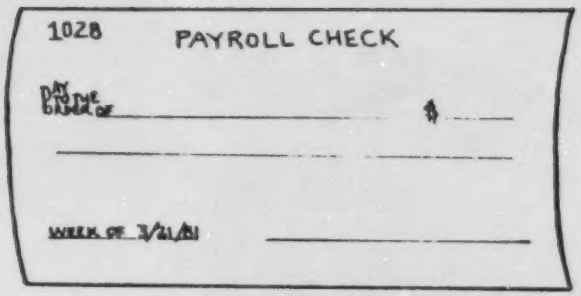
STANDARD 4: Rehabilitated clients shall evidence economic independence.

DATA ELEMENT 4(1): Percent 26 Closures with Weekly Earnings at or above Federal Minimum Wage

Formula	Data Sources
# 26 closures with weekly earnings level at/above the federal minimum wage / # 26 closures	• RSA - 390 (Part 4.N.2) • Statistical Abstract of U.S. / RSA - 300

DATA ELEMENT 4(ii): Comparison of Earnings of Competitively Employed 26 Closures to Earnings of Employees in State

Formula	Data Sources
Mean weekly earnings of competitively employed 26s / Mean weekly earnings of employees in the state	RSA - 300 (Part 4.1) / U.S. Census Bureau Statistical Abstract of the U.S.



Gainful Activity

STANDARD 5: There shall be maximum placement of rehabilitated clients into competitive employment. Noncompetitive closures shall represent an improvement in gainful activity for the client.

DATA ELEMENT 5(1): Percent 26 Closures Competitively Employed

Formula	Data Sources
# of competitively employed 26 closures / # of 26 closures	RSA - 300 / RSA - 300

DATA ELEMENT 5(11): Percent Competitively Employed 26 Closures with Hourly Earnings at/above Federal Minimum Wage

Formula

$$\frac{\text{\# of competitively employed 26 closures with hourly earnings at or above federal minimum wage}}{\text{\# of competitively employed 26s}}$$

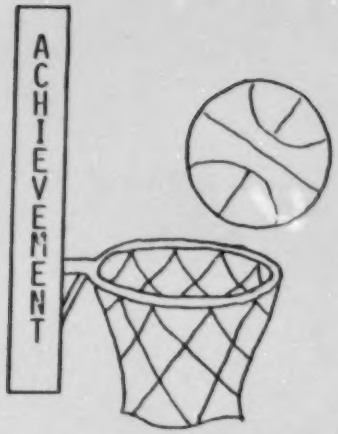
Data Sources

- RSA - 300
- U.S. Census Bureau Statistical Abstract of the U.S.

RSA - 300

DATA ELEMENT 5(iii): Percent Noncompetitively Employed 26 Closures Showing Improvement in Gainful Activity

Formula	Data Sources
# noncompetitive 26s with improvement on LSI-FAI measure from plan to closure / # noncompetitive 26 closures	RSA - 300 / RSA - 300



Vocational Gains

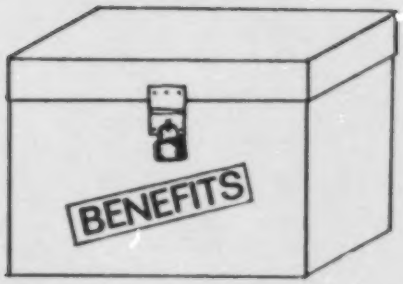
STANDARD 6: Rehabilitated clients shall evidence vocational gains.

DATA ELEMENT 6(1): Rehabilitated Clients Shall Evidence Vocational Gains

Formula	Data Sources
Sum of closure earnings for 26 closures minus sum of referral earnings for 26 closures / # 26 closures	• Closure Survey • RSA - 300 RSA - 300

DATA ELEMENT 6(ii): Changes in Functional Ability and Life Status

(Changes in other statuses, and functioning ability, will be included when appropriate measures become available.)



Retention of Benefits

STANDARD 7: Rehabilitated clients shall retain the benefits of VR services.

DATA ELEMENT 7(1): Percent 26 Closures Retaining Earnings at Follow-up

Formula

$$\frac{\text{\# 26s with earnings at closure who retained or increased earnings at follow-up}}{\text{\# 26 closures with earnings at closure, surveyed at follow-up}}$$

Data Sources

- RSA - 300
- Follow-up Survey

DATA ELEMENT 7(ii): Comparison of 26 Closures with Public Assistance as Primary Source of Support at Closure and at Follow-up

Formula

$$\frac{\text{\% 26s with public assistance as primary source of support at follow-up}}{\text{\% 26s with public assistance as primary source of support at closure}}$$

Data Sources

- RSA - 300
- Follow-up Survey

DATA ELEMENT 7(iii): Percent Noncompetitively Employed 26 Closures Retaining Closure Skills at Follow-up

Formula

$$\frac{\text{\# noncompetitive 26 closures retaining LSI/FAI closure skills}}{\text{\# noncompetitive 26 closures surveyed at follow-up}}$$

Data Sources

$$\frac{\text{RSA - 300}}{\text{Follow-up Survey}}$$

Client Satisfaction

STANDARD 8: Clients shall be satisfied with the Vocational Rehabilitation program, and rehabilitated clients shall appraise Vocational Rehabilitation services as useful in achieving and maintaining their vocational objectives.

DATA ELEMENT 8(1): Percent Closed Clients Satisfied with Overall VR Experience

Formula	Data Sources
$\frac{\text{\# closed clients surveyed satisfied with overall VR experience}}{\text{\# closed clients surveyed}}$	Closure Survey

DATA ELEMENT 8(11): Percent Closed Clients Satisfied with Specific Aspects of VR

Formula	Data Source
# closed clients satisfied with their counselors; # closed clients satisfied with physical restoration services; # closed clients satisfied with job training services; # closed clients satisfied with job placement services / # closed clients surveyed	Closure Survey

DATA ELEMENT 8(iii): Percent 26 Closures Judging Services Received to have been Useful in Obtaining Their Job/Homemaker Situation or in Current Performance

Formula	Data Source
# 26 closures judging services received as useful in obtaining their job/ homemaker situation or in current performance --- # 26 closures surveyed	Closure Survey

1978 RECOMMENDED PROGRAM STANDARDS

B (33)

Performance Standards

STANDARD 1: VR shall serve the maximum proportion of the potentially eligible target population, subject to the level of federal program funding and priorities among clients.

STANDARD 2: The VR program shall use resources in a cost-effective manner and show a positive return to society of investment in vocational rehabilitation of disabled clients.

STANDARD 3: VR shall maximize the number and proportion of clients accepted for service who are successfully rehabilitated, subject to the meeting of other standards.

STANDARD 4: Rehabilitated clients shall evidence increased economic independence.

STANDARD 5: There shall be maximum placement of rehabilitated clients into competitive employment. Noncompetitive closures shall be in accordance with the IWRP goal and shall represent an improvement in gainful activity for the client.

STANDARD 6: Vocational gains shall be attributable to VR services.

STANDARD 7: Rehabilitated clients shall retain the benefits of VR services.

STANDARD 8: Clients shall be satisifed with the VR program, and rehabilitated clients shall appraise VR services as useful in achieving and maintaining their vocational objectives.

STANDARD 5: There shall be maximum placement of rehabilitated clients into competitive employment. Noncompetitive closures shall represent an improvement in gainful activity for the client.

Data Element 5(I): Percent 26 closures competitively employed

Data Element 5(II): Percent of competitively employed 26 closures with hourly earnings at or above the federal minimum wage

Data Element 5(III): Percent of noncompetitively employed 26 closures showing improvement in function and life status

DATA ELEMENT 5(1)

Formula and Data Sources: $\frac{\text{\# of competitively employed 26 closures}}{\text{\# of 26 closures}} \quad \frac{(R - 300)}{(R - 300)}$

Step One:	Count all clients in Part 4.N.2	=	# of 26 closures
Step Two:	Pull out and count all clients identifed in Step One who were coded "1" or "3"	=	# of competitively employed closures
Step Three:	Step Two ÷ Step One	=	Data Element 5(1)

DATA ELEMENT 5(11)

Formula and Data Sources:

$$\frac{\text{\# of competitively employed 26 closures with hourly earnings at or above federal minimum wage}}{\text{\# of competitively employed 26s}} \qquad \frac{\text{(RSA - 300)}}{\text{(RSA - 300)}}$$

Step One:	Count all clients in Part 4.N.2 who were coded "1" or "3"	=	# of 26 closures
Step Two:	Pull out and count all of the clients identified in Step One who had hourly earnings at or above the federal minimum wage	=	# of competitively employed 26 closures with wages at or above the federal minimum wage
Step Three:	Step Two ÷ Step One	=	Data Element 5(11)

ADDITIONAL INSTRUCTIONS

- Merge client surveys with RSA - 300 data using a consistent client identifier.

- Use only "valid" cases to compute data elements by excluding missing data.

DATA ELEMENT 4(1): Percent 26 Closures with Weekly Earnings at or above Federal Minimum Wage

- Using all 26 closures:

$$\frac{\text{400 (\# earning weekly minimum wage)}}{\text{1,000 (all 26 closures)}} = 40\%$$

- Using only valid cases:

$$\frac{\text{400 (\# earning weekly minimum wage)}}{\text{800 (\# 26s with valid earnings data at closure)}} = 50\%$$

Vocational Rehabilitation Program
Standards Evaluation System

Presentation Plans and Overheads–C:

Administering the Closure and Follow-Up Surveys

bpa
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Time From Start	Overhead Projection #	Points for Presentation
	1	ADMINISTERING THE CLOSURE AND FOLLOW-UP SURVEYS
		• Does everyone have a packet which looks like this?
		• All the information to be discussed today is contained in this packet. Use it as a reference guide both during and after the presentation.
		TS - Today's presentation has two objectives:
	2	OBJECTIVES OF THE PRESENTATION (REVELATION)
		• First, to familiarize VR staff with the rationale for the Closure and Follow-Up Surveys and the relation of the surveys to the entire rehabilitation process and
		• Second, to advise VR staff on the mechanics and administration of the surveys and possible ways to improve upon the surveys for different states and districts.
	3	RATIONALE FOR CLOSURE AND FOLLOW-UP SURVEYS
	**	• VR Performance Standards require that VR clients
		1) be satisfied with the VR services they receive (Standard 8)
		2) find VR services useful in obtaining and performing jobs (Standard 8) and
		3) retain benefits of the VR program (Standard 7).
		• The best way for VR or states to determine whether these requirements have been met is to actually question VR clients.
		• However, consider these requirements in terms of the rehabilitation process.

Time from Start	Overhead Projection #		Points for Presentation
		**	• Determining whether the first two requirements had been met could occur at case closure. Whether or not clients retained the benefits, however, could only be determined sometime after case closure, when the client's situation could be followed up upon.
		**	• Consequently, two surveys were developed: the CLOSURE SURVEY and the FOLLOW-UP SURVEY.
			TS Let's examine the Closure Survey first.
	4		CLOSURE SURVEY: PAGE 1
			• The Closure Survey is designed to be self-explanatory and is to be completed by the client at case closure.
			• It consists of nine questions and each is an essential source of data for computing specific performance standard data elements.
			• For instance, Question 1 is used in computing data element 8(i); percent of closed clients satisfied with their overall VR experience.
	5		CLOSURE SURVEY: PAGE 2
			• Questions 5 and 6 are used in computing data element 8(ii); percent of closed clients receiving job training services and who are satisfied with those services.
			• Again, each question helps measure total agency performance and provides a closer look at district and even individual counselor performance. More specific detail of how each question pertains to the performance standard data elements in in your Trainee Handbook.
			• Each question can also help identify strengths and weaknesses in specific service areas or across different client groups.

Time from Start	Overhead Projection #	Points for Presentation
	6	FOLLOW-UP SURVEY: PAGE 1
		• The major purpose of the follow-up survey is to determine the extent to which benefits gained by VR clients have had a long-term effect.
		• The follow-up survey is also designed as a mail-back questionnaire to be completed by former clients one year after case closure.
		• It consists of five questions which ask clients about their work status, earnings and skills.
		• Again, each question provides useful information to VR and state agencies and are used in computing specific data elements.
		• For example, Question 2 is used in computing data element 7(ii); primary source of support for clients.
	7	FOLLOW-UP SURVEY: PAGE 2
		• If VR collects life status and functional ability information, additional questions can be added to track gain in these areas during follow-up.
		• Through the Follow-Up Surveys, in conjunction with data about individual client characteristics, VR can learn much about the long-term impact of the program's services on different types of clients, as well as how that impact might vary across districts or counselors.
	8	ADMINISTERING THE SURVEYS
		• There are five major activities in administering the surveys:
		1) selecting the sample;
		2) developing the survey instrument;
		3) distributing the survey;
		4) collecting the survey; and
		5) editing the data.

Time from Start	Overhead Projection #	Points for Presentation
		• Each of these activities is essential to collecting high-quality data.
	9	LINKS IN THE SURVEY/DATA COLLECTION CHAIN
		• View each task as links in a chain. If any of the links are weak, the whole chain is weakened. Each task, therefore, requires planning and forethought.
		TS - Let's look more closely at each of these tasks.
	10	SAMPLE SELECTION
		• In one sense, the best way to prevent sampling biases or other sampling problems would be to distribute Closure and Follow-Up Surveys to <u>all</u> clients.
		• Yet this is not only impractical in terms of time and costs, it is unnecessary as well.
		• For the purposes of these surveys, a randomly selected sample of appropriate size will provide adequate data to respond to the VR Performance Standards as well as provide VR with a valid base for collecting information about any other aspects of the program that the agency may choose to include in the surveys.
		• Many questions arise when considering the selection of the sample.
		• First, WHO SHOULD BE INCLUDED IN THE SAMPLE?
**		• For the Closure Survey, clients whose cases were closed after receiving VR services should be included:
		1) 26 closures,
		2) 28 closures,
		3) 30 closures.

Time from Start	Overhead Projection #		Points for Presentation
		**	• For the Follow-Up Survey, benefit retention is relevant only for rehabilitated clients. The sample should only include: 1) 26 closures.
		**	• The second question which arises is HOW MANY CLIENTS ARE NEEDED FOR THE SAMPLE?
		**	• For the Closure Survey, 500 clients should be included in the sample each year. This sample should include: 1) 300 - 26 closures, or 25 per month 2) 100 - 28 closures, or 8-9 per month 3) 100 - 30 closures. or 8-9 per month
		**	• The Follow-Up Survey sample should include: 1) 200 - 26 closures, or 16-17 per month
			• The 200 clients sampled for follow-up need not be part of the Closure Survey sample.
		**	• For both surveys, clients should be sampled throughout the year on a monthly basis.
	11		THE MONTHLY SAMPLING PLAN
			• The best way to do this is to develop a monthly sampling plan, which involves three steps. Using an example will help illustrate the process: 1) At the end of each month, record the number of case closures for each closure status during the month. As you can see, in the example, we had 250 Status 26 closures, 99 Status 28 closures, and 78 Status 30 closures. 2) Divide this number by the number of clients required for the sample in each status. As mentioned earlier, 25 Status 26 closures, nine Status 28 closures, and nine Status 30 closures are required.

Time from Start	Overhead Projection #	Points for Presentation

3) The result of this division represents the frequency with which filed cases should be selected for inclusion in the sample. For the example, in this case every tenth 26 closure case should be selected. Similarly, every eleventh 28 closure and every ninth 30 closure should be selected for the sample.

- A new monthly sampling plan must be made each month. To facilitate this process, sampling forms for an entire year are included in the Trainee Handbook.

- If you don't have a computerized tracking system, the preparation of the Monthly Sampling Plan and the distribution of the Closure and Follow-Up Surveys can be eased by organizing case closure files according to closure status on a monthly basis.

12 SURVEY INSTRUMENT DEVELOPMENT

- The second link in the survey chain is the development of the survey instrument.

- As both the Closure and Follow-Up Surveys have already been formally prepared, this link is complete.

- However, some states may desire to take advantage of this survey contact with clients to ask additional questions which respond to the state's own planning and evaluation needs.

- Advice on how to prepare questions for addition to the surveys is included in the Trainee Handbook.

- Instructions for proper printing of the surveys is also included.

- Remember, all states must use the standardized survey questions exactly as they are prepared, but may add their own questions at the end of the survey.

Time from Start	Overhead Projection #	Points for Presentation
	13	SURVEY DISTRIBUTION
		• Once the questionnaire has been prepared for distribution, there are still three tasks which must be completed.
	**	• First, a cover letter should be prepared on agency letterhead.
		• The cover letter should introduce the survey and motivate the client to immediately complete and return the survey. It should be short and concise, yet should provide adequate information.
		• Sample cover letters for both the Closure and Follow-Up Surveys are included in the Trainee Handbook. Use them to help prepare your own agency's letter.
		• Two other points about the cover letter should be stressed:
		1) Be sure to date the letter. Doing so gives the letter an air of greater importance and gives the respondent a frame of reference of elapsed time.
		2) It is best to type the name, address, and salutation onto each letter so it appears more personalized than a typical form letter.
	**	• Secondly, a system for keeping track of surveys needs to be established.
		• Use the Survey Control Sheets which are provided in the Trainee Handbook to help set up this tracking system.
		TS - Let's take a closer look at the Survey Control Sheet.

Time from Start	Overhead Projection #	Points for Presentation
	14	SURVEY CONTROL SHEET: TOP HALF • This is the top half of the Survey Control Sheet. It contains basic information about the client including the case number, Social Security number, closure date, and name, address and phone number.
	15	SURVEY CONTROL SHEET: BOTTOM HALF • The bottom half of the Survey Control Sheet has information more pertinent to the Closure and Follow-Up Surveys. • The survey mailing date should be filled in on Item 1 along with an acknowledgement of whom it was sent by. • That's all you need to do to begin with; we'll come back to the other parts of the Survey Control Sheet in the next section.
	16	SURVEY DISTRIBUTION • So, in review, the first two steps of Survey Distribution are to prepare a cover letter and a Survey Control Sheet for each client. • The third aspect of survey distribution is to mail the cover letters and surveys. • Be sure to enclose a return envelope, preferably one that is postpaid. • Try to mail out the surveys at the beginning of the week -- it avoids weekend buildup and increases the probability of a response. • Lastly, don't forget to put the mailing date in the appropriate space on the Survey Control Sheet.
	17	SURVEY COLLECTION • Most people who answer questionnaires do so almost immediately after they receive them.

Time from Start	Overhead Projection #	Points for Presentation

- When people do not return a questionnaire, it could be for a host of reasons:

  1) it never got to the person it was addressed to;

  2) it was discarded as "junk" mail;

  3) it was filled out but, for one reason or another, it was never returned;

  4) the client was unable to fill out the questionnaire because of his or her disability.

- There is, however, a four-step process which can be used to maximize the response rate:

** 1) Two weeks after the initial distribution, send a reminder postcard to clients to jog their memories and influence their priorities. Be sure to stress the importance of their response, offer a replacement questionnaire, and thank early respondents (in case the reminder has crossed the response in the mail). A sample postcard reminder is included in the Trainee Handbook.

Some states may choose to use a computerized flagging system to keep track of when reminders and response prods should be made. However, this can also be accomplished quite simply through the use of the survey control sheets. When questionnaires are returned by clients, the date is recorded and the control sheet is pulled from the pending file. All those remaining in the current month's pending file at the end of the two-week period would receive a two-week reminder.

** 2) One week after the postcard reminder, send another questionnaire and another cover letter. This cover letter should combine elements of the first cover letter and the postcard reminder. A sample of this cover letter is also included in the Trainee Handbook.

Time from Start	Overhead Projection #	Points for Presentation
	**	3) If another week passes and the survey hasn't been returned, give the client a telephone call to gently urge a response. The focus of the phone call should be to determine the cause for the delay and whether or not the client is willing to participate.
	**	4) If cooperation has been assured over the phone, yet no survey has been returned, the agency may elect to mail a third questionnaire or to complete the survey through a telphone call or a personal interview with the client. This "last try" step is important in ensuring that the sample includes the most severely disabled who may require special assistance. If no survey has been completed and received six weeks after the initial mailing, consider the survey a nonresponse.
	18	SURVEY CONTROL SHEET: BOTTOM HALF • If you need to take any of these steps to maximize the response rate of the surveys, be sure to record when you took those steps on the Survey Control Sheet.
	19	DATA PREPARATION • The return of the surveys to the VR agency is not the end of the survey/data collection process. One other task must be undertaken before the surveys are ready for analysis. • It is important that all completed questionnaires be edited to ensure that instructions were properly followed, the answers are appropriate to the question, and that the correct number of responses were given. • The agency should strive to have only one or two survey editors, as this will allow greater consistency and will allow problems to be recognized earlier.

Time from Start	Overhead Projection #	Points for Presentation
	20	CLOSURE AND FOLLOW-UP SURVEY REVIEW

- In review, both the Closure and Follow-Up Surveys are of critical importance in assessing the extent to which VR services have benefited clients on both short- and long-term bases.

- There are five steps in administering the surveys which can be facilitated by using forms and samples in your packets:

  1) select the sample;

  2) develop the survey instrument;

  3) distribute the survey;

  4) collect the survey; and

  5) edit the data.

C(1)

Vocational Rehabilitation Program
Standards Evaluation System

Trainee Handbook-C:

Administering the Closure and Follow-Up Surveys

bpa
3200 adeline street berkeley california 94703

C(2)

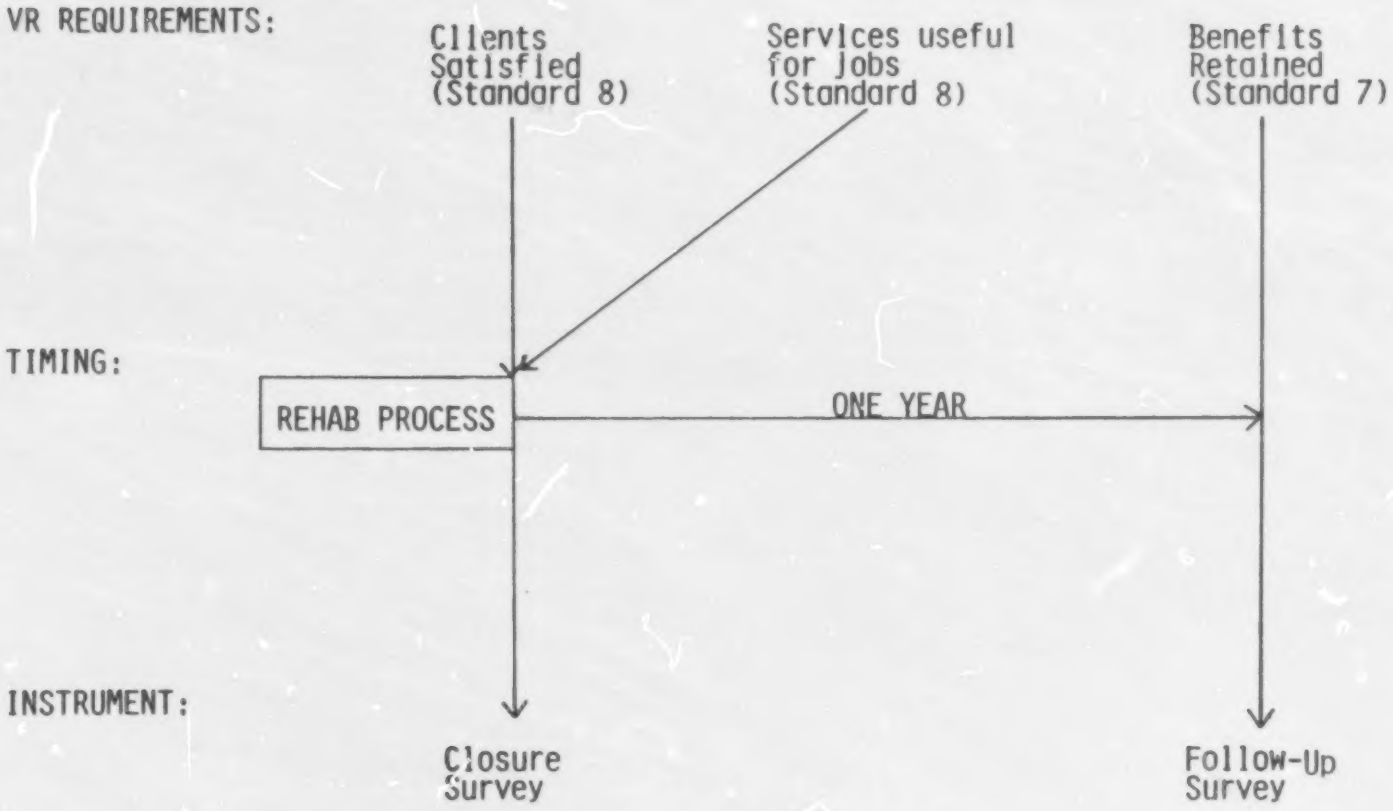
OBJECTIVES OF PRESENTATION

- to familiarize VR staff with the rationale of the Closure and Follow-Up Surveys

- to advise VR staff on how to administer the surveys.

(3)

RATIONALE FOR CLOSURE AND FOLLOW-UP SURVEYS



C (1)

VR CLIENT CLOSURE SURVEY

1. Are you satisfied with your overall experience with the rehabilitation program? [PLEASE CHECK ONE]

(15)
___ 1. Yes
___ 2. No
___ 9. Not sure or no opinion

2. Are you satisfied with your counselor's performance (that is, did he/she do a good job for you)? [PLEASE CHECK ONE]

(16)
___ 1. Yes
___ 2. No
___ 9. Not sure or no opinion

3. Did your counselor arrange for you to have <u>physical restoration services</u>, such as medical treatment, physical therapy, artificial limbs, eyeglasses, dentures, hearing aids, etc.? [PLEASE CHECK ONE]

(17)
___ 1. Yes
___ 2. No
___ 9. I don't remember

C(5)

(Column #)

4. If YES, are you satisfied with these services? [PLEASE CHECK ONE]

(18)
___ 1. Yes
___ 2. No
___ 9. Not sure or no opinion

5. Did your counselor arrange for you to have job training? [PLEASE CHECK ONE]

(19)
___ 1. Yes
___ 2. No
___ 9. I don't remember

6. If YES, are you satisfied with the kind of training you received? [PLEASE CHECK ONE]

(20)
___ 1. Yes
___ 2. No
___ 9. Not sure or no opinion

7. Did your counselor help you look for a job? [PLEASE CHECK ONE]

(21)
___ 1. Yes
___ 2. No
___ 9. I don't remember

8. If YES, are you satisfied with the help you received? [PLEASE CHECK ONE]

(22)
___ 1. Yes

C(6)

VR CLIENT FOLLOW-UP SURVEY

1. Which of the following statements best describes your present work situation? [PLEASE CHECK ONLY ONE]

(15)

___ 1. I earn a wage or salary, either at a regular job or from self-employment
___ 2. I earn a wage or salary in a sheltered workshop or Business Enterprise Program (BEP)
___ 3. I am a homemaker
___ 4. I work in a family farm or business without pay
___ 5. I am not working at present
___ 6. Other (explain): _____
_____
_____

2. How much total income, if any, did you and your dependents receive last month from all sources of public welfare? [PLEASE CHECK ONLY ONE AND FILL IN THE SPACE]

(16-19)

___ We received $_____ last month
___ None[a]
___ I don't remember[a]

CLIENT FOLLOW-UP SURVEY: PAGE 2

C(7)

(Column #)

3. What were your total earnings last week (from a job, self-employment, sheltered workshop, or Business Enterprise Program (BEP)?

(20-21)

___ I earned $ _____ last week
___ I am working but I don't receive a wage or salary[a]
___ I am not working[a]
___ I don't know[a]

4. What was your income last month from private sources other than the earnings reported in Question 3 (for example, from rents, dividends, or private insurance)?

(22-26)

___ I received $ _____ last month
___ None[a]
___ I don't remember[a]

5. (Items assessing functional ability and life status; items to be determined through pretest of the Life Functioning Index (LFI).

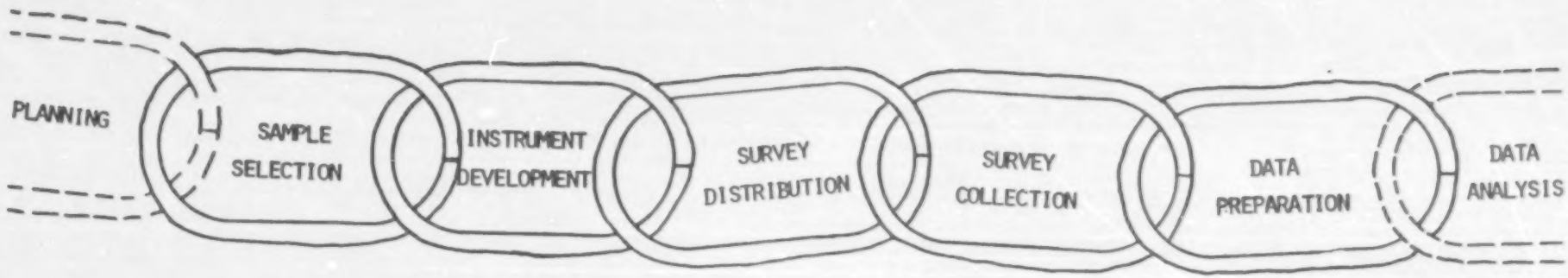
C⑧

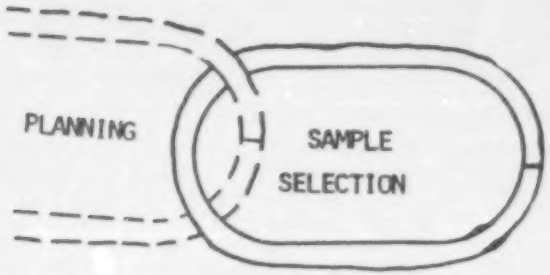
ADMINISTERING THE SURVEYS

1) Selecting the sample
2) Developing the survey instrument
3) Distributing the survey
4) Collecting the survey
5) Editing the data

C(9)

Links in the Survey/Data Collection Chain





SAMPLE SELECTION

1. WHOM TO INCLUDE:

   A. Closure Survey
   - 26 closures
   - 28 closures
   - 30 closures

   B. Follow-Up Survey
   - 26 closures

2. HOW MANY CLIENTS?

   A. Closure Survey
   - 300 - 26 closures/year or 25/month
   - 100 - 28 closures/year or 8-9/month
   - 100 - 30 closures/year or 8-9/month

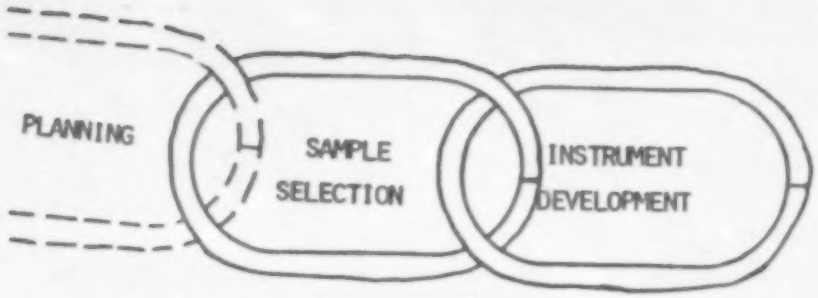
   B. Follow-Up Survey
   - 200 - 26 closures/year or 17/month

3. HOW SHOULD MONTHLY SAMPLE BE SELECTED?
   - Develop Monthly Sampling Plan

C (11)

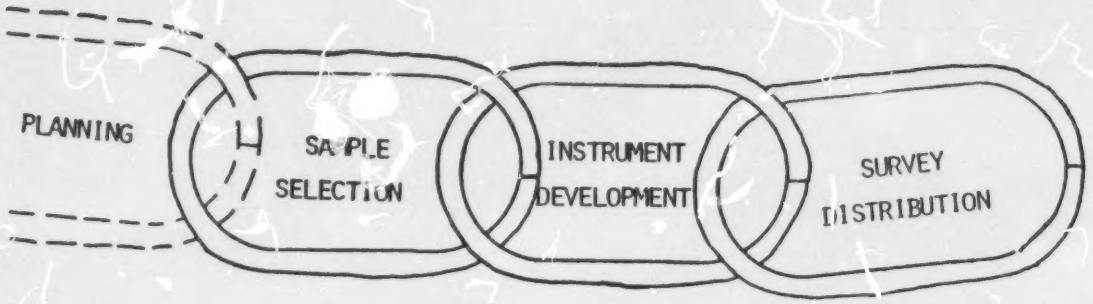
MONTHLY SAMPLING PLAN

Status	Month _____		
	(1) Actual # of Cases	(2) Monthly Sample Size	(3) Select Every
26	250	÷ 25	10th
28	99	÷ 9	11th
30	78	÷ 9	8th



SURVEY INSTRUMENT DEVELOPMENT

- Instruments are complete.
- Additional questions may be added at the end.



SURVEY DISTRIBUTION

STEP 1: Prepare the cover letter.

STEP 2: Set up the recordkeeping system.

STEP 3: Package and mail out the survey.

C (14)

SURVEY CONTROL SHEET - TOP HALF

Questionnaire No. _____

(Number on Survey Control Sheet and questionnaire must correspond)

VOCATIONAL REHABILITATION CLOSURE SURVEY

Survey Control Sheet

To Be Completed by Agency Personnel Only

I. Agency and Client Identification

1. Case No. /_/_/_/_/_/_/_/_/_/_/_/ 2. Closure Date __/__/__

3. Social Security No. /_/_/_/-/_/_/_/-/_/_/_/_/

4. Client's Name _____

5. Client's Address _____
street name and number Apt. No.

_____
city state zip code

6. Client's Telephone No. (____) ____-_____

- -

SURVEY CONTROL SHEET - BOTTOM HALF

C (15)

II. Survey Control Information (Check the boxes that apply and give the dates)

1. Initial Questionnaire Distributed -- Date /_/_/_/_/

   How: by counselor /_/
   by district office? /_/
   by central office? /_/

   Response Prods:

2. Reminder postcard /_/ Date /_/_/_/_/

3. Second survey form /_/ Date /_/_/_/_/

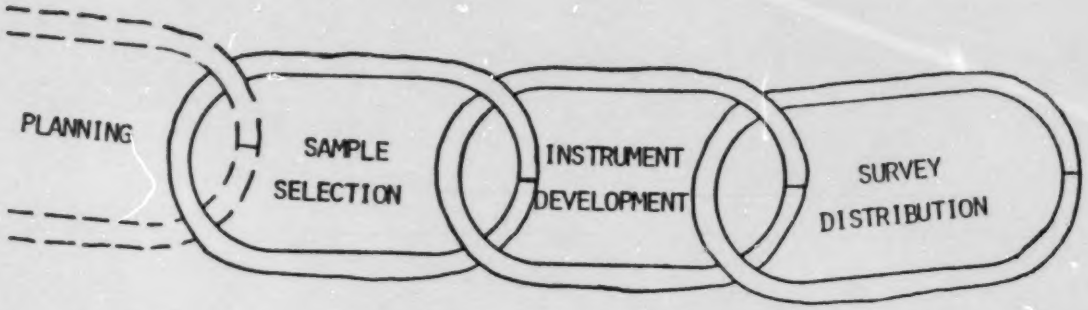
4. Telephone follow-up /_/ Date /_/_/_/_/

5. Other: _____ /_/ Date /_/_/_/_/

6. Classified as nonresponse /_/ Date /_/_/_/_/

7. Questionnaire Completed? /_/ Date /_/_/_/_/

   How: by mail? /_/
   by telephone? /_/ Interviewer's name: _____
   in person? /_/

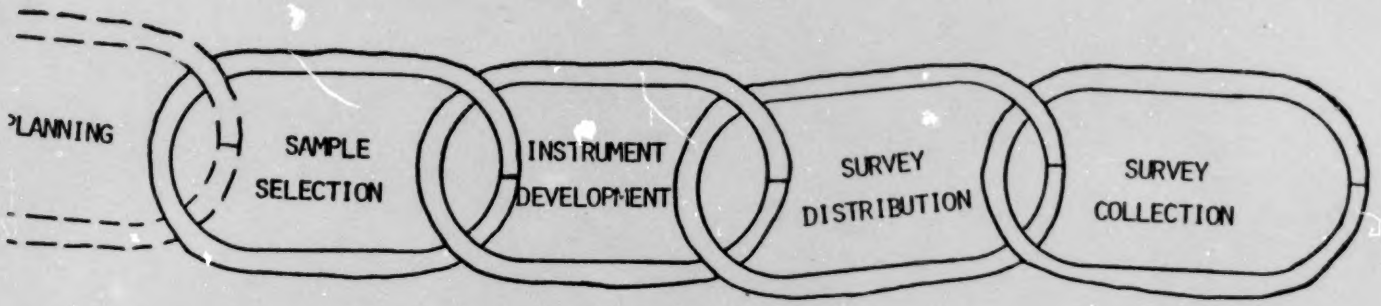


SURVEY DISTRIBUTION

STEP 1: Prepare the cover letter.

STEP 2: Set up the recordkeeping system.

STEP 3: Package and mail out the survey.



SURVEY COLLECTION

STEP 1: Two-week reminder.

Step 2: Second questionnaire (third week)

Step 3: Telephone reminder (fourth week).

Step 4: Last try.

SURVEY CONTROL SHEET - BOTTOM HALF C (18)

II. Survey Control Information (Check the boxes that apply and give the dates)

1. Initial Questionnaire Distributed -- Date /__/__/__/

   How: by counselor /__/
   by district office? /__/
   by central office? /__/

   Response Prods:

2. Reminder postcard /__/ Date /__/__/__/

3. Second survey form /__/ Date /__/__/__/

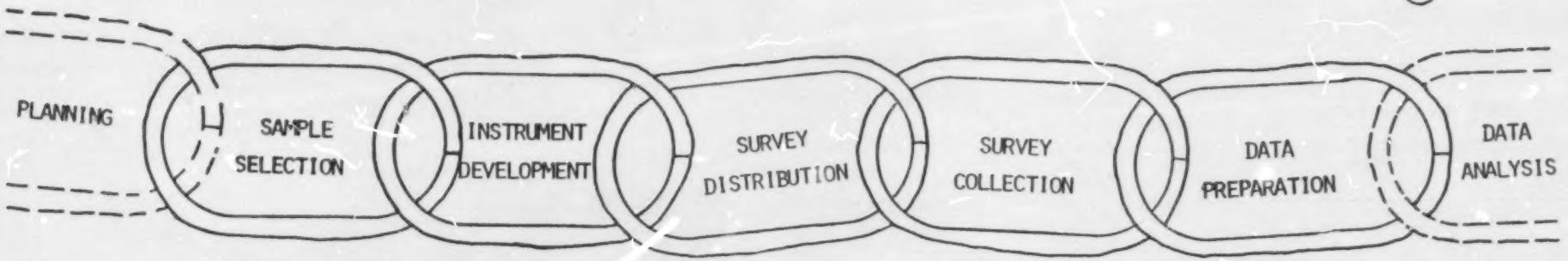
4. Telephone follow-up /__/ Date /__/__/__/

5. Other: _____ /__/ Date /__/__/__/

6. Classified as nonresponse /__/ Date /__/__/__/

7. Questionnaire Completed? /__/ Date /__/__/__/

   How: by mail? /__/
   by telephone? /__/ Interviewer's name: _____
   in person? /__/



DATA PREPARATION

- Edit the surveys

C (20)

CLOSURE AND FOLLOW-UP SURVEY REVIEW

- Surveys of great importance in assessing VR services

- Five steps in administering:
  1) Select the sample
  2) Develop the survey instrument
  3) Distribute the survey
  4) Collect the survey
  5) Edit the data

Vocational Rehabilitation Program
Standards Evaluation System

Presentation Plans and Overheads–D:

The Five Procedural Standards

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Time From Start	Overhead Projection #		Points for Presentation
	1		THE FIVE PROCEDURAL STANDARDS
			• Does everyone have a packet which looks like this?
			• All the information to be discussed today is contained in this packet. Use it as a reference guide both during and after the presentation.
			TS - Today's presentation has two objectives:
	2		OBJECTIVES OF THE PRESENTATION
			• To familiarize VR staff with the five Procedural Standards.
			• To identify the specific data elements and sources for these elements necessary for assessing an agency's performance on each Procedural Standard.
	3		OVERVIEW OF PROCEDURAL STANDARDS
			• VR Procedural Standards are concerned with:
		**	1) Process: Is the information collected on clients valid, reliable, accurate, and complete? Are services provided in a timely manner?
		**	2) Compliance: Are eligibility decisions made in accordance with the laws and regulations?
		**	3) Goal Planning: Are realistic goals developed for VR clients? Do goals set correspond to client outcomes?
	4		VR PROCEDURAL STANDARDS
			The five Procedural Standards thus evaluate procedures at different steps in the rehabilitation process: at intake, eligibility determination, plan development, service delivery and outcome.
			TS - Now let's take a closer look at each of the five Procedural Standards.

Time From Start	Overhead Projection #	Points for Presentation
	5	STANDARD 9: R-300 VALIDITY INFORMATION COLLECTED ON CLIENTS BY THE R-300 AND ALL DATA REPORTING SYSTEMS USED BY RSA SHALL BE VALID, RELIABLE, ACCURATE, AND COMPLETE.
	6	This standard ensures that state agencies maintain acceptable levels of accuracy, validity, and reliability in the reporting of the R-300, as well as other, data. By using a case review process, an accuracy check is provided between the case folder information, the R-300 itself, and any computer output listings of R-300 items selected for review. These items include a range of demographic data, service data, outcome data, and cost data. TS - Now, let us move along to the next Procedural Standard.
	7	STANDARD 10: ELIGIBILITY ELIGIBILITY DECISIONS SHALL BE BASED ON ACCURATE AND SUFFICIENT DIAGNOSTIC INFORMATION, AND VR SHALL CONTINUALLY REVIEW AND EVALUATE ELIGIBILITY DECISIONS TO ENSURE THAT DECISIONS ARE BEING MADE IN ACCORDANCE WITH LAWS AND REGULATIONS.
	8	** This standard concerns the determination of those applicants who will receive services. Such eligibility decisions must: • comply with the legislative mandate, and • ensure cost-effectiveness. ** In short, this standard focuses on ensuring that clients who are not eligible for VR services are not accepted, while those who are eligible are provided with services. The case review system will be used to monitor decisions made in compliance with this standard. ** While monitoring and review of eligibility decisions by supervising counselors or managers will provide a check on that determination, the actual procedures utilized in providing this supervision will not be monitored. Consequently, states will be allowed to retain flexibility in establishing their monitoring practices.

Time From Start	Overhead Projection #	Points for Presentation
		TS - Let us look at the next Procedural Standard.
	9	STANDARD 11: TIMELINESS VR SHALL ENSURE THAT ELIGIBILITY DECISIONS AND CLIENT MOVEMENT THROUGH THE VR PROCESS OCCUR IN A TIMELY MANNER APPROPRIATE TO THE NEEDS AND CAPABILITIES OF THE CLIENTS.
	10	This standard seeks to avoid delays in the VR process which may hinder or impede the successful rehabilitation of the client. It requires that each state have a monitoring system to 'flag' those cases remaining in statuses for an untimely period, and provides a process for evaluating each such undue delay. The reasons for this system are twofold:
		** • First, a client's attitude toward the usefulness of participating in VR are formed by his or her perception of the VR treatment, a perception often shaped by the speed with which his or her case is handled; and
		• Second, a correlation has been found between VR timeliness and client outcomes.
		** A specific timeliness assessment instrument has been developed and incorporated into the Case Review instrument which provides a reviewer with:
		• A notation mechanism for determining whether a delay has occurred in terms of the time it takes to complete various necessary activities in a case such as the eligibility decision;
		• An assessment of the reasons for such time lapses; and
		• A notation of whether a case was handled with 'undue speed.'
		The advantages of this system are that:
		** • It allows for a flexible interpretation of whether a case was handled in a timely manner by avoiding rigid criteria regarding the most appropriate time frame for various case activities; and

Time From Start	Overhead Projection #	Points for Presentation
		• It ensures greater reliability than other subjective measurement systems by requiring the reviewer first to determine if a delay did occur and then to determine the reason for a given delay (i.e., agency failure, client motivation, other agency actions, etc.)
		TS - Let us move on to the fourth Procedural Standard.
	11	STANDARD 12: IWRP VR SHALL PROVIDE AN INDIVIDUALIZED WRITTEN REHABILITATION PROGRAM FOR EACH APPLICABLE CLIENT, AND VR AND THE CLIENT SHALL BE ACCOUNTABLE TO EACH OTHER FOR COMPLYING WITH THIS AGREEMENT.
	12	Several aspects of the Individualized Written Rehabilitation Program are addressed by this standard. These include: • that an IWRP be fully developed for each eligible VR client; • that the plan ensure the protection of clients' rights; • that the client and counselor work together in developing all goals and service plans; • that the client and counselor share responsibility for follow-through and the annual review of the progress and appropriateness of the agreement; and • that the handling of any plan revisions are timely and appropriate. This standard will ensure compliance with the legislative intent of the IWRP, which in turn has been positively associated with successful VR process outcomes.
		TS - And now, let us turn to the final Procedural Standard.

Time From Start	Overhead Projection #	Points for Presentation
	13	STANDARD 13: GOAL PLANNING COUNSELORS SHALL MAKE AN EFFORT TO SET REALISTIC GOALS FOR CLIENTS. COMPREHENSIVE CONSIDERATION MUST BE GIVEN TO ALL FACTORS IN DEVELOPING APPROPRIATE VOCATIONAL GOALS SUCH THAT THERE IS A MAXIMUM OF CORRESPONDENCE BETWEEN GOALS AND OUTCOMES: COMPETITIVE GOALS SHOULD HAVE COMPETITIVE OUTCOMES AND NON-COMPETITIVE GOALS SHOULD HAVE NON-COMPETITIVE OUTCOMES. This standard concerns the setting of "realistic" goals for VR clients, consistent with their capabilities and abilities, whether this means setting competitive employment goals or sheltered or non-competitive employment goals. It addresses the issue of noncompetitive closure categories being instigated simply to salvage "successes" for clients unable to meet their planned competitive goals. By allowing flexibility in goal planning, the standard neither hinders clients from obtaining competitive closures, nor classifies them as "unsuccessful" should they have a competitive goal but a noncompetitive outcome.
	14	DATA ELEMENTS FOR STANDARD 13 As the four data elements for this particular standard indicate, the standard's objective is to investigate how counselors can be more effective in the task of "fitting" clients' potentials to feasible outcomes. In this way, the standard is used appropriately to facilitate effective goal planning. All four data elements are included in the R-300 system.
	15	COMPUTING THE PROCEDURAL STANDARDS DATA ELEMENTS • The data elements for the Procedural Standards consist, for the most part, of individual information items pertaining to specific aspects of the standard in question. These information items will be presented in terms of a series of "percentage achieved scores." With this, program managers will be able to see the extent to which an agency is in compliance in terms of a number of separate indicators. This will allow program managers to pinpoint specific problems occurring in the agency's case-handling and data-recording processes.

Time From Start	Overhead Projection #	Points for Presentation

- The one exception to the "percentage achieved" method occurs on Standard 13. As noted in the discussion of that standard, its data elements consist of four similar ratios, each of which compare clients' IWRP goals to their ultimate outcomes.

CONCLUDING COMMENTS

This concludes our formal presentation of the Procedural Standards. As we mentioned at the beginning, all of the information presented today is included in the Trainee Handbook, Section D.

D(1)

Vocational Rehabilitation Program
Standards Evaluation System

Trainee Handbook-D:

The Five Procedural Standards

tpa
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OBJECTIVES OF THE PRESENTATION

- Provide an overview of the five procedural standards; and

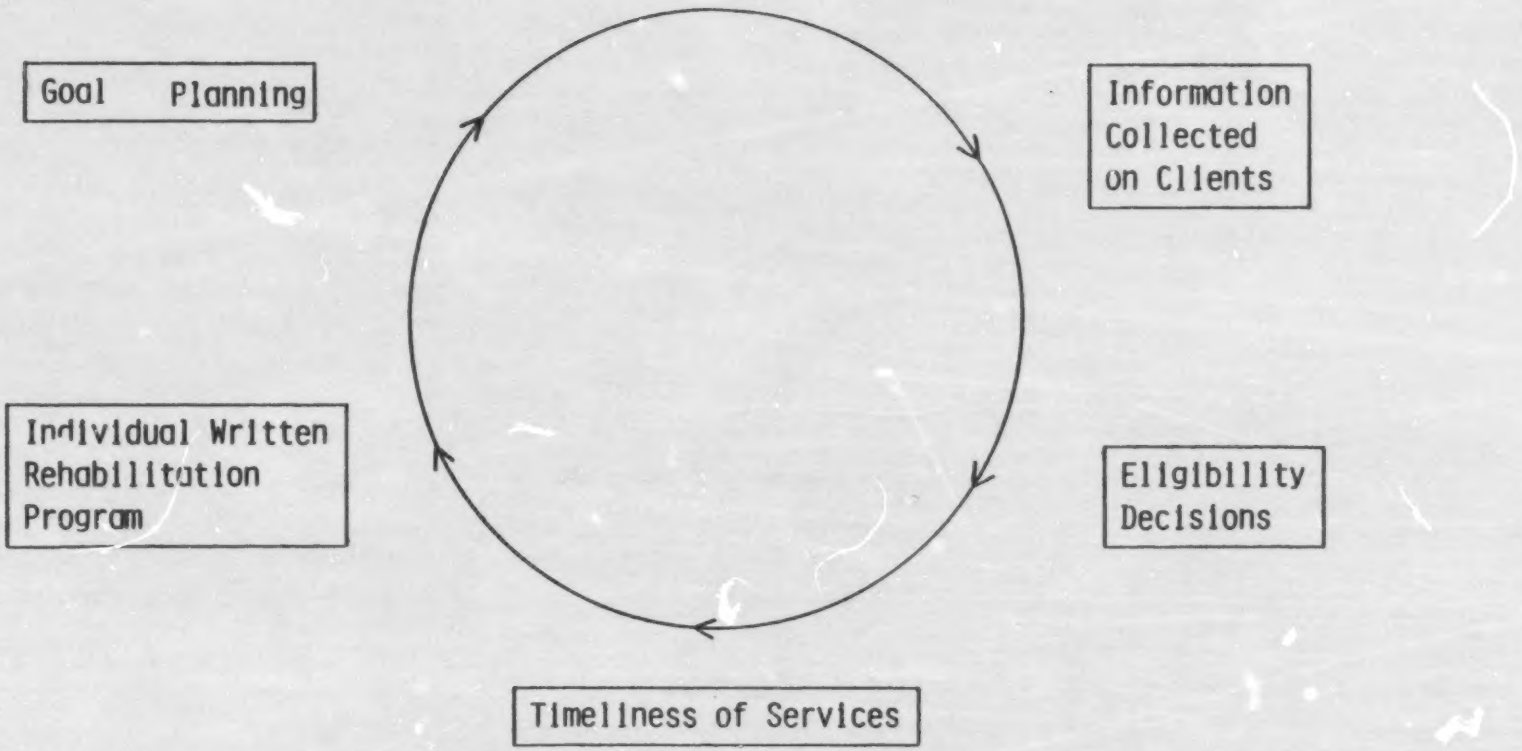
- Identify specific data elements and sources for each standard.

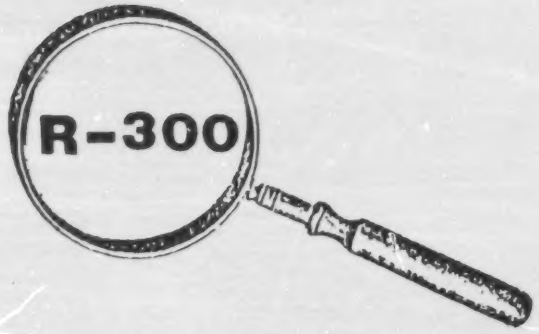
PROCEDURAL STANDARDS

- Process - information accurate? Services timely?
- Compliance - regulations followed?
- Goal Planning - goals realistic? Achieved?

D (4)

VR PROCEDURAL STANDARDS





R-300 VALIDITY

STANDARD 9: Information collected on clients by the R-300 and all data reporting systems used by RSA shall be valid, reliable, accurate, and complete.

213

RSA-300 VALIDITY

- ensures accurate, valid, reliable and complete data;

- uses case review to check accuracy between case folder and RSA-300;

- items checked include:
  - demographic data,
  - service data,
  - outcome data,
  - cost data.

ELIGIBILITY

STANDARD 10: Eligibility decisions shall be based on accurate and sufficient diagnostic information, and VR shall continually review and evaluate eligibility decisions to ensure that decisions are being made in accordance with laws and regulations.

ELIGIBILITY

- Eligibility decisions must:
  - comply with the Legislative mandate, and
  - assure cost-effectiveness.

- Case review will be used to monitor this standard.

- Procedures used for supervising review of eligibility decisions will not be monitored.

D (9)

TIMELINESS

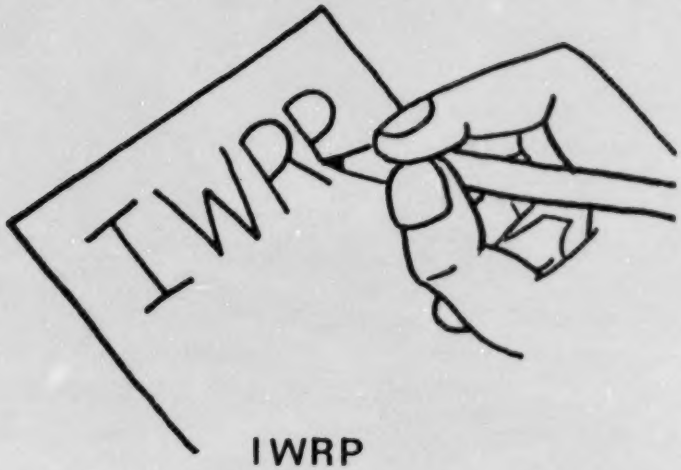
STANDARD 11: VR shall ensure that eligibility decisions and client movement through the VR process occur in a timely manner appropriate to the needs and capabilities of the clients.

TIMELINESS

- Timeliness of service delivery can affect both client satisfaction and service outcomes;

- A timeliness assessment instrument is included in the case review.

- Assessment procedure allows for a flexible interpretation taking into account specific aspects of each case.

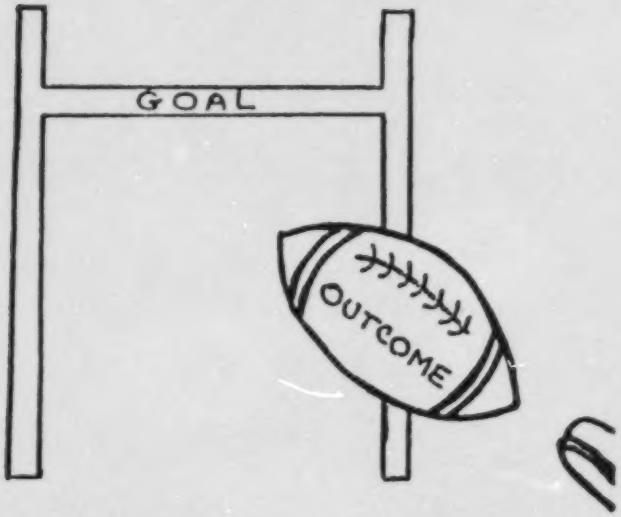


IWRP

STANDARD 12: VR shall provide an individualized written rehabilitation program for each applicable client, and VR and the client shall be accountable to each other for complying with this agreement.

IWRP

- IWRP fully developed for each client;
- Plan ensures protection of clients' rights;
- Counselor and client develop plan together;
- Counselor and client share responsibility for follow through and annual review of plan; and
- Plan revisions are timely and appropriate.



GOAL PLANNING

STANDARD 13: Counselors shall make an effort to set realistic goals for clients. Comprehensive consideration must be given to all factors in developing appropriate vocational goals such that there is maximum correspondence between goals and outcomes: competitive goals should have competitive outcomes and noncompetitive goals should have noncompetitive outcomes.

DATA ELEMENT FOR STANDARD 13

	Formula	Data Source
(i)	# of 26 closures with competitive goal AND competitive outcome / # of 26 closures	RSA - 300
(ii)	# of 26 closures with competitive goal BUT noncompetitive outcome / # of 26 closures	
(iii)	# of 26 closures with noncompetitive goal AND noncompetitive outcome / # of 26 closures	
(iv)	# of 26 closures with noncompetitive goal BUT competitive outcome / # of 26 closures	

COMPUTING THE DATA ELEMENTS

Standard	Data Source	Computation
Standard 9: R-300 Validity	Modified Case Review Schedule	Percentage of all valid cases who achieved each data element
Standard 10: Eligibility	Modified Case Review Schedule	Percentage of all valid cases who achieved each data element
Standard 11: Timeliness	Modified Case Review Schedule	Percentage of all valid cases who achieved each data element
Standard 12: IWRP	Modified Case Review Schedule	Percentage of all valid cases who achieve each data element
Standard 13: Goal Planning	RSA - 300	Ratio for each of the four data elements

Vocational Rehabilitation Program
Standards Evaluation System

Presentation Plans and Overheads–E:

Introduction to the
Modified Case Review Schedule (MCRS)

bpa
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Time From Start	Overhead Projection #	Points for Presentation
	1	INTRODUCTION TO THE MODIFIED CASE REVIEW SCHEDULE • Does everyone have a packet that looks like this? • All the information to be discussed today is contained in this packet.. Use it as a reference guide both during and after the presentation.
	2	OBJECTIVES OF THE PRESENTATION Today's presentation has four objectives: • To explain the purpose of the Modified Case Review Schedule; • To familiarize VR staff with the data elements contained in the MCRS and their relationship to the Procedural Standards; • To overview the sampling procedures recommended for selecting cases for review; and • To look at the qualifications and experience necessary for potential case reviewers.
		OVERVIEW OF THE MODIFIED CASE REVIEW SCHEDULE TS - The Case Review Schedule is an instrument designed by the San Diego State University to determine whether state VR programs are providing services in accordance with the regulations and guidelines mandated by the Rehabilitation Act of 1973. Based on this CRS, a Modified Case Review Schedule (MCRS) was developed by BPA to assess the four Procedural Standards relating to compliance with eligibility and the IWRP. We will now briefly review each of the sections of the Modified Case Review Schedule and indicate their relationship to the four relevant Procedural Standards.
	3	Section I.A and I.B: Identifying Information and Significant Case Data
	**	• Section I.A provides information for: • identifying the client; and • merging the data with other documents.

Time From Start	Overhead Projection #		Points for Presentation
		** •	Section I.B records significant dates relevant to the client's program experience, such as date of service initiation, etc.
		**	These sections are used as supplemental information for Standards 9 through 12.
	4		Section I.C: R-300 Verification Instrument
		•	This is used to assess the degree to which information submitted to RSA on critical items of the R-300 was corroborated by casefile information. Since the purpose of Standard 9 is to verify the R-300 information, this will provide a manual confirmation procedure.
	5		Section II.A: Evaluation of Rehabilitation Potential: Preliminary Diagnostic Study - Status 02
		•	This section, used for Standard 10, assesses the extent to which the case record documents the occurrence of the various activities needed to conduct an effective preliminary diagnostic study. This should contain all of the information necessary to make an assessment of a client's eligibility for VR services, such as:
			-- medical reports;
			-- psychiatric examinations, etc.
	6		Section II.B: Evaluation of Rehabilitation Potential: Extended Evaluation - Status 06
		•	In regards to Standard 10, this section seeks documentation that the state agency has followed proper procedures in placing applicants into extended evaluation (Status 06). In particular, the concerns are that case records include:
		**	1) a certification for extended evaluation to determine rehabilitation potential;
		**	2) the rationale for determining the client's need for extended evaluation;
		**	3) evidence of the occurrence of thorough assessments of progress at least every 90 days; and
		**	4) documentation of the eligibility decision resulting from extended evaluation.

Time From Start	Overhead Projection #	Points for Presentation
		• Provision of this information will help to ensure that extended evaluation is used only when appropriate, that clients' proceed in a timely manner, and that minimal recording needs for Status 06 are maintained.
	7	• In regards to Standard 12, this section seeks to document that the IWRP's contain all of the information required under Status 06. This information includes:
		** 1) a definition of the terms and conditions for provision of services;
		** 2) a documentation that the client was informed of his or her specific rights, including the right to participate in the development of the program;
		** 3) an outline for the client's vocational goal and a timeframe for its achievement;
		** 4) a specific set of evaluation procedures and criteria;
		** 5) a documentation of the final eligibility decision and, for those clients closed as ineligible:
		-- documentation that the client participated in the decision, and
		-- documentation that provision was made for periodic review.
		• Provision of this information helps ensure both the adherance to the IWRP provisions as well as the adherance to a timely movement of the client through Status 06. The information also ensures that clients are aware of their rights to continued services or review, if declared ineligible.
	8	Section III: Eligibility - Status 10
		• The purpose of this section, which is relevant to Standard 10, is to document that a certification of eligibility was completed for each accepted client, and that counselor documentation in the case records confirms:
		** 1) the existence of a disability;
		** 2) the existence of a substantial handicap to employment; and
		** 3) the likelihood that VR services will benefit the client.

Time From Start	Overhead Projection #	Points for Presentation
	9	Section IV: Evaluation of Rehabilitation Potential: Thorough Diagnostic Study - Status 02 & 10

- This section is used solely for problem identification. It includes questions on the quality and scope of the diagnostic study.

10 — Section V: Individualized Written Rehabilitation Program - Status 12

- This section is used for Standard 12. Since the IWRP is used to establish a counselor/client alliance regarding the provision of services toward a specific vocational goal, it is important that the IWRP contains all of the information necessary for establishing such an alliance. Section V documents:

** 1) that the client was informed of the terms and conditions for the provision of services;

** 2) that the client was informed of client rights;

** 3) that the client participated in the full planning and review process; and

** 4) that the IWRP contains essential information, such as goals, time frames, evaluation procedures, schedules, etc.

- Inclusion of this information in the IWRP clarifies the roles, relationships, and duties of agency and client toward achieving the vocational goal.

11 — Section VI: Delivery of Services - Statuses 14, 16, 18, 20, 22, and 32

- This section, used for Standard 12, when taken together with the information provided in Section V, describes the overall VR process, consisting of:

  -- the plan (i.e., the terms, conditions, and information set forth in the IWRP needed to provide services); and

  -- the specific program of services undertaken to achieve the vocational goal embodied in the IWRP.

- If we know the extent to which planned services are actually delivered, we can then determine the extent of effective "follow through" on the service planning process.

Time From Start	Overhead Projection #		Points for Presentation
	12	**	Section VII: Termination of Cases
			• This section, in relation to Standard 10, focuses on nonsuccessful closures. For these closures, Standard 10 attempts to assess the following compliance issues:
		**	1) Does the case record document the ineligibility/ termination decision, and the basis for that decision?
		**	2) Have clients been granted their legal rights to participate in the ineligibility/termination decision?
		**	3) Have clients been informed of their right to an annual review of the decision? and
		**	4) Have the required annual reviews occurred, and the results been documented?
			The need for this information is twofold:
			1) Assuming that supervisory personnel will want to review cases involving ineligibility or unsuccessful termination, they should have the ability to review cases sampled at random or target reviews to particular counselors.
			2) It assures clients' protection by providing evidence that the necessary steps have occurred with the knowledge and participation of the client.
			• Informed of their rights to review, hopefully these clients will re-enter the system later and be successfully rehabilitated.
	13		In relation to Standard 12, this section seeks to ensure:
			-- that the rationale for closure decisions are recorded on the IWRP; and
			-- that the client (or his/her appropriate representative) was consulted prior to the closure decision.
			• Finally, several questions pertaining to 26 closures are included in Section VII. These questions are related to problem identification.

Time From Start	Overhead Projection #	Points for Presentation
	14	Section VIII: Timeliness Assessment Instrument

- This section responds directly to Standard 11. It is designed to link subjective assessments of the timeliness of case movement to objective data on the length of time spent in various statuses by different disability types. The assessments are used in conjunction with data on client characteristics and services provided to investigate how agencies might avoid undue delays in the service process.

TS - Having reviewed all sections in the Modified Case Review Schedule, let us turn to the question of sample selection and frequency of review.

15 SAMPLING PROCEDURE

The sampling procedure is related to two practical concerns:

- that a sufficient number of cases be reviewed to allow for analysis and interpretation; and
- that reviews be conducted on clients who are in service, thereby allowing for the assessment of current operations and the application of corrective measures should problems exist.

There are three issues of concern here:

** 1) It is important that the variable "entered/did not enter extended evaluation" be included among the sample selection. This will allow assessment of compliance with regulations pertaining to ineligibility determinations.

** 2) It is important that the sample selection criteria ensure that some cases which fall into all of the following categories of service process will be represented in the sample:

- eligibility
- extended evaluation
- plan development
- service provision
- closure.

Time From Start	Overhead Projection #	Points for Presentation
		This will allow for the full exploration of all issues represented by the four Procedural Standards and will guarantee that reviews will be conducted on in-service cases.
		** 3) The final issue concerns the physical location of the data collection effort. Removal of case files from the district offices may prove problematic, particularly in cases where the files are currently in use. A system whereby reviewers travel to the various districts to conduct reviews may be preferable.
	16	FREQUENCY OF REVIEW
		Statewide assessments should occur every three years, and never less than four. If possible, they should be supplemented by more frequent, targeted spot checks.
		TS - Now let us review the qualifications and experience necessary for the case reviewers.
	17	CASE REVIEWER QUALIFICATIONS
		• Since the quality and resulting data is strongly influenced by the capabilities of the people who conduct the reviews, there are four main qualifications an effective reviewer should possess:
		** 1) An intimate familiarity with a wide variety of aspects of operations in that state agency.
		** 2) Experience in casework, such as counseling, casework supervision, and overall operations and administration.
		** 3) Objectivity when reviewing cases, and
		** 4) The ability to devote 100% of their time to these responsibilities. This will ensure that their familiarity with the task will be reinforced, their reviewing ability will be improved, and that the necessity for intensive training with each new data collection cycle will be obviated.

Time From Start	Overhead Projection #	Points for Presentation

CONCLUDING COMMENTS

This concludes our formal presentation on the MCRS. As we mentioned at the beginning, all of the information presented today is included in the Trainee Handbook, Section E.

E(1)

Vocational Rehabilitation Program
Standards Evaluation System

Trainee Handbook-E:

Introduction to the
Modified Case Review Schedule (MCRS)

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OBJECTIVES OF THE PRESENTATION

- Explain the purpose of the MCRS;
- Discuss data elements and their relationship to Procedural Standards;
- Overview sampling procedures;
- Look at qualifications of reviewers.

SECTIONS I.A. and I.B.: Identifying Information and Significant Case Data

Section I.A.:

- identification of the client
- merging the data with other sources

Section I.B.:

- significant dates

Used for:

- Standard 9 - R-300 Validity
- Standard 10 - Eligibility
- Standard 11 - Timeliness
- Standard 12 - IWRP

E (4)

SECTION I.C.: R-300 Verification Instrument

Assesses correspondence between R-300 and case file data.

Used for:

Standard 9 - R-300 Validity

SECTION II,A.: Evaluation of Rehabilitation Potential:
Preliminary Diagnostic Study - Status 02

- Medical Report
- Psychiatric Examination

Used for:

Standard 10 - Eligibility

SECTION II.B.: Evaluation of Rehabilitation Potential:
Extended Evaluation - Status 06

- certification for extended evaluation;
- basis of the need;
- evidence of 90-day assessments; and
- documentation of eligibility decision.

Used for:

Standard 10 - Eligibility

SECTION II.B. (continued)

- definition of terms and conditions for services;
- documentation that client was informed of rights;
- outline of vocational goal and time frame;
- evaluation procedures and criteria; and
- documentation of eligibility decision.

Used for:

Standard 12 - IWRP

SECTION III: Eligibility Status 10

- existence of disability;
- existence of substantial handicap; and
- likelihood of benefit from VR.

Used for:

Standard 10 - Eligibility

SECTION IV: Evaluation of Rehabilitation Potential:
Thorough Diagnostic Study - Status 02 and 10

- Quality and scope of diagnostic study

Used for:

Problem Identification

SECTION V: IWRP - Status 12

- client was informed of terms and conditions for service;
- client was informed of rights;
- client participated in plan;
- IWRP contains essential information such as:

  -- goals

  -- time frames

  -- evaluation procedures, etc.

Used for:

Standard 12 - IWRP

SECTION VI: Delivery of Services - Statuses 14, 16, 18, 20, 22 and 32

- used with Section V to describe overall process;
- includes the plan and specific program of services; and
- measures "follow-through."

SECTION VII: Termination of Cases

- documentation of decision;
- client participation in decision;
- right to annual review; and
- documentation of review.

Used for:

Standard 10 - Eligibility

SECTION VII (continued)

- documentation of rationale for closure;
- client consulted prior to decision

Used for:

Standard 12 - IWRP

SECTION VIII: Timeliness Assessment Instrument

- links subjective assessments of case movement to objective data on time in status; and

- used in conjunction with client and service data to develop ways to avoid delays.

Used for:

Standard 11 - Timeliness

SAMPLE SELECTION

- Sample Selection should include:

  1) Both "entered" and "did not enter" extended evaluation;

  2) A cross-section of all statuses; and

  3) East access to case files.

FREQUENCY OF REVIEW

- Ideally, every three years
- Never less frequently than every four years
- Supplement with spot checks

QUALIFICATIONS AND EXPERIENCE OF CASE REVIEWERS

1. Familiarity with all aspects of state agency operations.

2. Experience in casework (i.e., counseling, casework supervision, operations, and administration).

3. Objectivity.

4. Exclusive responsibility for the review process.